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AUTHOR	Puleo, Nancy F.; And Others
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ABSTRACT

This module, one in a series of competency-based administrator instructional packages, focuses on a specific competency that vocational education administrators need to be successful in the area of business and financial management. The purpose of the module is to help administrators develop skills in the two most common procedures to obtain state and federal funds to supplement local resources--the program application process and the project proposal process. An introduction provides terminal and enabling objectives, a list of resources needed, and a glossary of selected terms. The main portion of the module includes five sequential learning experiences. Overviews, which precede each learning experience, contain the objective for each experience and a brief description of what the learning experience involves. Each learning experience consists of a number of activities that may include information sheets, case studies, samples, checklists, and self-checks. Optional activities are provided. The final learning experience also provides an assessment form for administrator performance evaluation by a resource person. (YLB)

ED226252

Develop Applications and Proposals for Funding Vocational Education

MODULE
LT-H-3

Module LT-H-3 of Category H —
Business and Financial Management

COMPETENCY-BASED VOCATIONAL EDUCATION ADMINISTRATOR MODULE SERIES

Consortium for the Development of
Professional Materials for Vocational Education

Robert E. Norton, Consortium Program Director
Nancy F. Puleo, Program Assistant
Carol J. Spencer, Graduate Research Associate
Lois G. Harrington, Program Associate

The National Center for Research in Vocational Education
The Ohio State University

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Direction is given by a representative from each of the states, provinces and territories. AAVIM also works closely with teacher organizations, government agencies and industry.

The work presented herein was performed by the National Center for Research in Vocational Education on behalf of the Consortium for the Development of Professional Materials for Vocational Education. Sponsors and members of the Consortium for 1981-1982 included the following states and/or cooperating agencies: the Arizona Department of Education, Vocational Education Division, and Northern Arizona University, the Center for Vocational Education; the Florida Department of Education, Division of Vocational Education, and Florida International University; the Illinois State Board of Education, Department of Adult, Vocational, and Technical Education, and Southern Illinois University at Carbondale; the Michigan Department of Education, Vocational-Technical Education Services, and Michigan State University; the Ohio State Department of Education, Division of Vocational Education; and the Pennsylvania Department of Education, Bureau of Vocational Education, and Temple University, Department of Vocational Education. The opinions expressed herein do not, however, necessarily reflect the position or policy of any of the sponsors, and no official endorsement by them should be inferred.

FOREWORD

The need for competent administrators of vocational education has long been recognized. The rapid expansion of vocational education programs and increased student enrollments have resulted in a need for increasing numbers of vocational administrators at both the secondary and postsecondary levels. Preservice and inservice administrators need to be well prepared for the complex and unique skills required to successfully direct vocational programs.

The effective training of local administrators has been hampered by the limited knowledge of the competencies needed by local administrators and by the limited availability of competency-based materials specifically designed for the preparation of vocational administrators. In response to this pressing need, the Occupational and Adult Education Branch of the U.S. Office of Education, under provisions of part C--Research of the Vocational Education Amendments of 1968, funded the National Center for a scope of work entitled "Development of Competency-Based Instructional Materials for Local Administrators of Vocational Education" during the period 1975-77. That project had two major objectives:

1. To conduct research to identify and nationally verify the competencies considered important to local administrators of vocational education.
2. To develop and field test a series of prototypic competency-based instructional packages and a user's guide. One hundred sixty-six (166) high priority competencies were identified and six prototypic modules and a user's guide were developed, field tested, and revised.

Although six modules had been developed, many more were needed to have competency-based materials that would address all the important competencies that had been identified and verified. In September 1978 several states joined with the National Center for Research in Vocational Education to form the Consortium for the Development of Professional Materials for Vocational Education. Those states were Illinois, Ohio, North Carolina, New York, and Pennsylvania. The first five states were joined by Florida and Texas later in the first year and by Arizona and Michigan in the fourth year (1981-82). The first objective of the Consortium was to develop and field test additional competency-based administrator modules of which this is one.

Several persons contributed to the successful development and field testing of this module on developing applications and proposals for funding vocational education. Nancy F. Puleo, Program Assistant, assumed the major responsibility for reviewing the literature and for preparing the actual manuscript. Recognition also goes to the two consultants who helped conceptualize the module and prepared draft materials for the manuscript: Howard Friedman, Project Director, Innovative Occupational Skills Program, New York City Public Schools, New York, New York; and Nila Hibdon, Dean of Vocational-Technical Education, State Fair Community College, Sedalia, Missouri.

Acknowledgement is given to the official reviewers who provided critiques of the module and suggestions for its improvement: Donald F. Drake, Director, Monroe County Area Vocational-Technical School, Bartonsville, Pennsylvania; Richard K. Hofstrand, Contract Administrator, Research and Development Section, Illinois State Board of Education, Springfield, Illinois; and John S. Washburn, Manager, Research and Development Section, Illinois State Board of Education, Springfield, Illinois.

Credit goes to Lois C. Harrington, Program Associate, who helped to refine the module for publication after field testing; and to Robert E. Norton, Consortium Program Director, for providing program leadership and content reviews. Thanks go to Ferman B. Moody, Associate Director for Personnel Development, for his administrative assistance.

Appreciation is also extended to Barbara Border, Bill Cisco, Calvin Cotrell, Carroll Curtis, James Haire, Robert Kerwood, George Kosbab, Helen Lipscomb, Aaron J. Miller, Dominic Mohamed, James Parker, Wayne Ramp, and Ray Ryan for their service as state representatives, state department contacts, and field-test coordinators; and to the other teacher educators and local administrators of vocational education who used the modules and provided valuable feedback and suggestions for their improvement. Last, but certainly not least, thanks and credit are due Deborah Linehan, Consortium Program Secretary, for her patience and expert skill in processing the many words necessary to make this module a quality document.

Robert E. Taylor
Executive Director
The National Center for Research
in Vocational Education

INTRODUCTION

Vocational programs cannot be started, continued, or improved without adequate financial resources. Like it or not, securing the necessary funds to support instructional programs and other related activities is one of the most critical challenges facing vocational administrators every year. Successful resource development requires your best personal and professional effort to ensure that sufficient dollars are available to meet student, staff, and institutional needs.

Fortunately, a number of financial sources are usually available to support vocational education programs. Unfortunately, these funds are not automatically made available each year. Rather, funds from the federal, state, and local levels must be aggressively sought. This requires the skillful use of specialized and often quite different procedures. Another module in this series, entitled Identify Financial Resources for Vocational Education, addresses how to successfully locate many different federal, state, and local public and private funding sources.

This module is concerned with the two most common procedures used regularly by vocational administrators to obtain state and/or federal funds to help supplement the always limited local resources available. One procedure that results annually in the acquisition of the most state and federal dollars for vocational education is known as the program application process. Applications are usually submitted annually to seek financial support for conducting instructional programs and providing related student services. The applications require the submission of completed forms to the correct state educational agency on or before the announced deadline dates. Failure to meet all requirements can mean financial disaster.

The second procedure that results annually in the acquisition of many program development and improvement dollars for some schools and colleges--and zero dollars for many others--is the project proposal process. Proposals provide a means to gain access to an important alternative source of funding for many secondary and postsecondary institutions. Progressive vocational administrators are keenly aware of the many dollars that are available for such activities as curriculum development, program evaluation, and staff development to those possessing the knowledge and skills needed to prepare successful proposals.

While both financial procedures are used effectively by the competent administrator, the actual steps involved vary considerably. This module addresses the knowledge and skills you need as a vocational administrator to successfully use both procedures to support your institution's many financial needs.

Module Structure and Use

This module contains an introduction and five sequential learning experiences. Overviews, which precede each learning experience, contain the objective for each experience and a brief description of what the learning experience involves.

Objectives

Terminal Objective: While working in an actual administrative situation, develop applications and proposals for funding vocational education. Your performance will be assessed by your resource person, using the "Administrator Performance Assessment Form," pp. 111-113. (Learning Experience V)

Enabling Objectives:

1. After completing the required reading, demonstrate knowledge of the differences between applications and proposals and of the process for preparing and submitting program applications. (Learning Experience I)
2. After completing the required reading, demonstrate knowledge of administrative activities that support the development of project proposals. (Learning Experience II)
3. After completing the required reading, demonstrate knowledge of the process for writing and submitting project proposals. (Learning Experience III)
4. Given a sample state-level RFP, identify the guidelines it contains for planning, developing, and submitting a project proposal. (Learning Experience IV)

Prerequisites

To complete this module, you must have competency in identifying financial resources. If you do not already have this competency, meet with your resource person to determine what method you will use to gain this skill. One option is to complete the information and practice activities in the following module:

- Identify Financial Resources for Vocational Education

Resources

A list of the outside resources that supplement those contained within the module follows. Check with your resource person (1) to determine the availability and the location of these resources, (2) to locate additional references

specific to your situation, and (3) to get assistance in setting up activities with peers or observations of skilled administrators.

Learning Experience I

Required

- A COPY OF THE APPLICATION/LOCAL-PLAN MATERIALS furnished by your state education agency to local schools and colleges with vocational programs.

Optional

- ONE OR MORE CONTRACT/GRANT AGENTS IN YOUR STATE EDUCATION AGENCY whom you can interview regarding their experiences in reviewing program applications.

Learning Experience II

No outside resources

Learning Experience III

Optional

- A RESOURCE DEVELOPMENT OFFICER (or similarly titled person) whom you can interview concerning his/her experience in writing proposals.
- COPIES OF FUNDED PROPOSALS that you can review and critique.

Learning Experience IV

Optional

- A REQUEST FOR PROPOSAL (RFP) from your own state education agency that you can review and analyze.

Learning Experience V

Required

- AN ACTUAL ADMINISTRATIVE SITUATION in which, as part of your duties, you can develop applications and proposals for funding vocational education.
- A RESOURCE PERSON to assess your competency in developing applications and proposals for funding vocational education.

Selected Terms

Administrator--refers to a member of the secondary or postsecondary administrative team. This generic term, except where otherwise specified, refers to the community college president, vice-president, dean, or director; or to the secondary school principal, director, or superintendent.

Board--refers to the secondary or postsecondary educational governing body. Except where otherwise specified, the term "board" is used to refer to a board of education and/or a board of trustees.

Institution--refers to a secondary or postsecondary educational agency. Except where otherwise specified, this generic term is used to refer synonymously to secondary schools, secondary vocational schools, area vocational schools, community colleges, postsecondary vocational and technical schools, and trade schools.

Resource Person--refers to the professional educator who is directly responsible for guiding and helping you plan and carry out your professional development program.

Teacher/Instructor--these terms are used interchangeably to refer to the person who is teaching or instructing students in a secondary or postsecondary educational institution.

User's Guide

For information that is common to all modules, such as procedures for module use, organization of modules, and definitions of terms, you should refer to the following supporting document:

> Guide to Using Competency-Based Vocational Education Administrator Materials. Columbus, OH: The Center for Vocational Education, The Ohio State University, 1977.

This module addresses task statement number 28 from Robert E. Nort[illegible] al., The Identification and National Verification of Competencies Important [illegible] Secondary and Post-Secondary Administrators of Vocational Education (Columbus, OH: The Center for Vocational Education, The Ohio State University, 1977). The 160 task statements in this document, which were verified as important, form the research base for the National Center's competency-based administrator module development.

NOTES

Learning Experience I

OVERVIEW

After completing the required reading, demonstrate knowledge of the differences between applications and proposals and of the process for preparing and submitting program applications.

You will be reading the information sheet, "Making Application for Federal and State Vocational Funds," pp. 9-27.

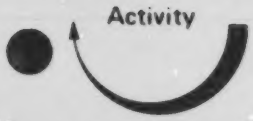
You will be arranging through your resource person to obtain a copy of application materials from your state department of education.

You may wish to arrange through your resource person to interview one or more contract/grant agents in your state education agency regarding their experience in reviewing annual vocational program applications.

You will be demonstrating knowledge of the differences between applications and proposals and of the process for preparing and submitting program applications by completing the "Self Check," pp. 29-30.

You will be evaluating your competency by comparing your completed "Self-Check" with the "Model Answers," pp. 31-32.

NOTES



For information about program applications and related funding terms and procedures, read the following information sheet.

MAKING APPLICATION FOR FEDERAL AND STATE VOCATIONAL FUNDS

The world of funding can seem overwhelming to the new vocational administrator. Your role in actually obtaining funding will vary greatly, depending on the size and location of your institution, as well as its internal hierarchy. To best serve you, this module is written assuming that you, the vocational administrator, will be in charge of managing and developing all the funding requests for money to support the vocational program.

Let's begin with some clarification of terms. Sometimes the same words are used interchangeably by the funding sources; sometimes the same words have different meanings, depending on the funding source involved. For clarity, this module will use certain words in a generic sense. The types of documents described in this module are just that: types. You must be able to get past the words used and understand the various types. Four pairs of words are explained here. The definitions should help you distinguish between the various documents, no matter which words the orginating agency uses.

- Application versus Proposal--This distinction is critical. For our purposes, the application is the set of forms you must fill out to receive funding approval from your state education agency (SEA). The approval of this application will provide you with state and/or federal funds specifically designated for support of vocational education. These funds primarily provide support for regular instructional programs. An application is usually noncompetitive.

  In addition, you may seek funds through the proposal process. A proposal is usually written to obtain funds for extra or supplemental, nonprogram activities such as research and curriculum development. In addition to the SEA, there are several sources of funds available through the proposal method. A proposal is usually competitive; in other words, your proposal will be competing against other proposals for the same--usually limited--dollars.

  Sample 1 presents some distinguishing characteristics of applications and proposals as they are addressed in this module.

- Program versus Project--This pair of words relates closely to the previous discussion because which of the two words is used depends upon the funding source of the activity, as well as the nature of the activity.

  A program is the "regular" activity that is provided by your vocational education departments (i.e. the instruction you provide for students). It includes all of the activities supported by the regular budget for vocational education.

SAMPLE 1

SOME DISTINGUISHING CHARACTERISTICS

FACTOR	APPLICATIONS	PROPOSALS
Purpose	Usually support for conducting instructional programs (e.g., salaries, equipment, supplies)	Usually support for the cost of a research, curriculum development, exemplary, or other special project
Nature	Involves completion of specific forms	Usually involves the development of written material according to given guidelines
Recipient	Usually the state education agency (SEA)	Any of a number of potential sponsors, including the SEA
Creativity Required	Low level	High level
Size of Document	One to a few pages	Usually 10-50 pages
Work Required	Limited; usually involves filling in the blanks and providing brief explanations	Considerable; usually involves extensive planning, development of written material, and revisions
Frequency of Preparation	Prepared annually in most cases	Prepared in response to a request for proposal (RFP) or fundable idea
Criteria	Must meet federal and state guidelines	Specific criteria, unique to sponsor's requirements

A project is any activity that is outside of what is generally considered to be the regular scope of work supported by the basic grant or state vocational funds. Projects are supported by "soft" money--money that is usually awarded through a competetive proposal process. Money that supports projects is usually a specific amount--tied closely to the activities and products outlined in a proposal--and is available for a limited period of time. Projects may be staffed by people other than regular instructional staff and tend to involve topics such as curriculum development, exemplary activities, or program improvement.

- Local Plan versus Application--It is necessary here to point out a common confusion. Some states use an application for funding that is separate from the required annual local plan. Other states, combine the two; some may not even specify that an application is required, asking only for the local plan. This is something that you must determine before you are ready to begin the task of obtaining funds for your institution. It is important for your funding that you know how to complete the local plan, whether or not it includes or eliminates the need for an application for state and federal vocational funds.[1]

- Application versus Reimbursement Claim--This may seem trite, but in states where an application is required, you cannot ask for reimbursement of money spent for your vocational program unless you have submitted and had approved an application for funding along with a local plan, before your program begins operation.

Application Dos and Don'ts

It is vital to your program that application forms be completed correctly. Application forms are usually completed and filed annually with your SEA. These applications outline the information needed by the SEA in order to approve funding for your instructional programs and related services. The completed application forms must be submitted to the correct state agency on or before a stated deadline date. If your institution's applications do not meet all of the requirements, federal and state monies may not be forthcoming, and you may have a financial disaster.

The following is a list of critical points to remember in submitting an application. Items included in this list cover some of the most common

---

1. For information about local plans, you may wish to refer to Develop Local Plans for Vocational Education: Part II, part of the Competency-Based Vocational Education Administrator Module Series (Columbus OH: The National Center for Research in Vocational Education, The Center for Vocational Education, The Ohio State University, 1981).

problems and mistakes found by SEA persons who review applications. Sample 2 shows portions of one state's application forms.

1. Make sure you have <u>all</u> the instructions. Read them carefully.
2. Note the contact person in the SEA.
3. Note all due dates; put them on your calendar.
4. Determine who must sign the documents before they leave your institution. Allow time for obtaining signatures.
5. Type all forms.
6. Don't estimate; if the form asks for numbers or percentages, be exact.
7. Most applications are assigned a number. Know your number, and use it on all correspondence.
8. Fill in all blanks that apply; if you're not sure, call your SEA contact person.
9. Obtain all necessary signatures.
10. Make copies of all completed forms--one for your files and one for the superintendent's/president's files.
11. Mail the completed application and appropriate attachments <u>before</u> the stated deadline by certified mail to the <u>correct</u> address.

The importance of correctly filling out and filing applications for funding cannot be overemphasized. Whether or not your institution receives the federal and state vocational dollars to which it is entitled depends upon your care in completing the program application.

SAMPLE 2

SEA PROGRAM APPLICATION

OKLAHOMA STATE DEPARTMENT OF VOCATIONAL AND TECHNICAL EDUCATION

FRANCIS TUTTLE, DIRECTOR • 1515 WEST SIXTH AVE. • STILLWATER, OKLAHOMA 74074 • A.C. (405) 377-2000

January 12, 1981

MEMORANDUM

TO: School Superintendents

FROM: F. J. Francis Tuttle, State Director

SUBJECT: Local Application for Vocational Program(s)

To qualify for federal funds, your school is required to submit a local application for all vocational programs every year. The enclosed application package is for your use in requesting your vocational programs for the 1981-82 school year.

Currently, a high school is eligible to receive a flat grant of $4,000 from the State Department of Education for each regular and cooperative secondary vocational program approved. The school also receives $125 per month per instructor from the State Department of Vocational-Technical Education. Programs in area vocational-technical schools are reimbursed on the area school formula. Pending legislation, the flat grant and teacher reimbursement may be increased for the 1981-82 school year.

Requests for proposals for special programs are also included in the application package for your convenience. Although proposals for special programs are accepted throughout the year as long as funds are available, those submitted by the deadlines specified will receive priority funding. Separate proposals must be submitted for disadvantaged and handicapped programs.

Detailed instructions for completing this application and proposal requests are included. Please read all the material in this package carefully and respond to each item which requires your input. If you have any questions, please feel free to contact the Planning Division at (405) 377-2000, Ext. 329 or 284, or your regional administrator. Note that completed applications are due February 16, 1981.

Thank you for your cooperation.

SOURCE: "1982 Oklahoma State Plan" (Oklahoma City, OK: The Oklahoma State Department of Vocational and Technical Education, 1981).

INSTRUCTIONS FOR COMPLETING "APPLICATION FOR SECONDARY & FULL-TIME ADULT VOCATIONAL EDUCATION PROGRAM(S)"

Schedule A

Schedule A is a list of the vocational programs in your school which are currently in operation and funded by the State Department of Vocational and Technical Education.

Review all data elements carefully and correct any errors by marking through the incorrect data and writing the correction in ink on the face of the form. This procedure should be used only to correct errors in programs currently being offered (i.e.; you had <u>two</u> home economics teachers this year and Schedule A shows only <u>one</u>) and <u>NOT</u> to request changes to be made next year (i.e.; you had only one home economics teacher this year, but you want to add another next year).

A.1. Note the "General Application No." on the left-hand side about an inch from the top. Record this number for future use in correspondence concerning your application.

A.2. Local Program Name - Some schools prefer to use a variation of the official State Department of Vocational and Technical Education program name in promotional brochures and other documents. If the program listed is currently referred to differently in your school, enter the local designation in ink. If a local name is already shown, make any revisions you wish.

A.3. State Department of Vocational and Technical Education Program Name - For State Department use only.

A.4. ID No. - For State Department use only.

A.5. Level - Sec = secondary
FTA = full time adult
AFB = approved for both the above

A.6. Funding - For State Department use only

A.7. CP No. - A contract number should be indicated for all special programs.

A.8. Number Teachers - A "head count" total.

A.9. Length of Program - 10 month or 12 month contract.

A.10. Percent Time Employed - 50 = one-half time during contract period
100 = full-time during contract period

A.11. Percent Program Length - Full-time equivalency (i.e.; 2 teachers full-time and 1 teacher one-half time = 250% FTE).

Note: For special funded programs (those with CP numbers) you must file a proposal addendum requesting continuation with the Supervisor of Special Programs before April 1.

Schedule B

Schedule B is to be used (1) to delete programs from Schedule A which you do not wish to operate next year, (2) to request changes in programs from Schedule A for next year (e.g.; add an additional teacher, drop "special" funding, reduce full-time teacher to half-time) and (3) to request new programs which are not listed on Schedule A.

Deletions and Changes

B.1 For deleted and changed programs, refer to Schedule A to complete appropriate blocks.

B.2. Indicate d = deletion; c = change.

B.3. Indicate effective date.

Additions

B.4. Indicate School Site and Code, Local Program Name, Effective Date and Level (see A.5)

B.5. Funding - Indicate if "Spec(ial)" funding is desired. If not, leave blank. If special funds are requested, see instructions for completing a proposal.

B.6. Indicate number of teachers requested; if the program is 10 or 12 month (length program); if the program is half- or full-day (% FTE).

B.7. Indicate month of start.

B.8. If area vocational-technical school and program was offered locally this year but supplement funds are required for next year, indicate with a check mark.

Schedule C

Schedule C solicits information concerning your long-range plans for vocational education and does not represent a firm commitment.

C.1. If you plan to expand your offerings over the next five years indicate (1) the programs you are most interested in, (2) the program level (secondary or adult) and (3) the school year in which implementation is being considered.

C.2. If you plan to discontinue any programs over the next five years which you are currently offering, refer to Schedule A and complete the appropriate blocks.

Schedule D

Schedule D contains certain assurances that the application has been prepared in accordance with federal law and should be read carefully.

D.1. Sign as indicated.

Schedule E

Schedule E must be used if you need to amend your original application after it has been submitted to the State Department.

E.1. Enter General Application Number from original application.

E.2. Indicate School Name, Address, City, and Date.

E.3. Complete according to instructions for Schedule B.

E.4. Sign as indicated.

Schedule F

List the name of the representative and the group represented for each advisory council member. Indicate the total number of females and the total number of minorities on the council. If you have questions concerning the composition of this council, contact your regional administrator or the Planning Division of the State Department of Vocational and Technical Education.

Schedule G

Write a brief narrative providing the required description. Number 3 is applicable only for schools in the following counties: Canadian, Cleveland, Comanche, Creek, Logan, Oklahoma, Osage, and Tulsa.

Assurances

Sign and return.

PLEASE SUBMIT ORIGINAL COPIES TO THE:

Planning Division
Oklahoma State Department of Vocational
and Technical Education
1515 West Sixth Avenue
Stillwater, OK 74074

SCHEDULE A
01-005-CX2

STATE BOARD OF VOCATIONAL & TECHNICAL EDUCATION
APPLICATION FOR
SECONDARY & FULL-TIME ADULT
VOCATIONAL EDUCATION PROGRAM(S)
FOR SCHOOL YEAR 19

GENERAL APPLICATION NO
(PLEASE REFER TO THIS NUMBER WHEN COMPLETING SUPPLEMENTAL FORMS AND CORRESPONDENCE.)

SYSTEM: DATE:

ADDRESS: COUNTY:

The above named school district has the following approved Vocational & Technical Education programs in operation during the current year and requests continuance of these programs for fiscal except as deleted or changed on Schedule B.

LOCAL PROGRAM NAME	SDVTE PROGRAM NAME	I.D. NUMBER	LEVEL	(B) FUNDING	CP NO.	[illegible]	LENGTH PROGRAM	% TIME EMPLOY	% PROGRAM LENGTH

NOTE: To update, delete or add programs for FY and FY complete Schedules B and C.
(a) A written proposal addendum should accompany all programs with CP numbers.

SCHEDULE B
01-006-CX2

STATE BOARD OF VOCATIONAL & TECHNICAL EDUCATION
APPLICATION FOR
SECONDARY & FULL-TIME ADULT
VOCATIONAL EDUCATION PROGRAM(S)
FOR SCHOOL YEAR 19

GENERAL APPLICATION NO.
(PLEASE REFER TO THIS NUMBER WHEN COMPLETING SUPPLEMENTAL FORMS AND CORRESPONDENCE.)

SYSTEM

DATE

ADDRESS

COUNTY

The above named school district requests deletion or change of the following programs listed in Schedule A

SCHOOL SITE AND CODE	LOCAL PROGRAM NAME	SDVTE PROGRAM NAME	I D NUMBER	ACTION CODE d-deletion c-change	EFFECTIVE DATE	LEVEL	FUNDING	DISADVANTAGED STUDENTS	HANDICAPPED STUDENTS	% FTE

The above named school district requests approval of the new vocational and technical programs listed below.

SCHOOL SITE AND CODE	LOCAL PROGRAM NAME	EFFECTIVE DATE	LEVEL		TUITION NUMBER	LENGTH PROGRAM	% FTE	STARTING DATE	AVTS CHECK IF PROGRAM OFFERED LAST YEAR

a) A written proposal should accompany all programs for which special funds are requested (eg. disadvantaged and handicapped)

SCHEDULE C
01-007-CX2

STATE BOARD OF VOCATIONAL & TECHNICAL EDUCATION
APPLICATION FOR
SECONDARY & FULL-TIME ADULT
VOCATIONAL EDUCATION PROGRAM(S)
FOR SCHOOL YEAR 19

GENERAL APPLICATION NO.
(PLEASE REFER TO THIS NUMBER WHEN COMPLETING SUPPLEMENTAL FORMS AND CORRESPONDENCE.)

SYSTEM

DATE

ADDRESS

COUNTY:

LONG RANGE PROGRAM REQUEST

If you plan to expand your vocational offerings at any time over the period 19 to 19 please list

	PROGRAM	LEVEL	SCHOOL YEAR		PROGRAM	LEVEL	SCHOOL YEAR
1				6			
2				7			
3				8			
4				9			
5				10			

If you plan to discontinue any on-going programs at any time over the period 19 to 19 , please list

	PROGRAM	I.D. NO	LEVEL	SCHOOL YEAR		PROGRAM	I.D. NO	LEVEL	SCHOOL YEAR
1					6				
2					7				
3					8				
4					9				
5					10				

COMMENTS

If you have any comments that you would like to make about your vocational program or about vocational education in general, the State Department of Vocational and Technical Education would appreciate them.

SCHEDULE D
01-008-CX2

STATE BOARD OF VOCATIONAL & TECHNICAL EDUCATION
APPLICATION FOR
SECONDARY & FULL-TIME ADULT
VOCATIONAL EDUCATION PROGRAM(S)
FOR SCHOOL YEAR 19

GENERAL APPLICATION NO
(PLEASE REFER TO THIS NUMBER WHEN COMPLETING SUPPLEMENTAL FORMS AND CORRESPONDENCE.)

SYSTEM DATE

ADDRESS COUNTY:

It is understood that this application has been developed in consultation with representatives of the educational and training resources available in the area to be served and with input from a local advisory committee and agreed upon that if this request is approved, the vocational education funds will be utilized in accordance with the policies established by the State Board of Vocational and Technical Education and P.L. 94-482.

Furthermore, as required by P.L. 94-482, the programs requested in this application are proposed to meet identified needs of students served by this institution and, where possible, results of previous evaluations have been used in their development. These programs are consistent with the training goals of other agencies & institutions in the area including CETA prime sponsors, and assure a coordinated approach to meeting the vocational education and training needs of the area or community.

We, the undersigned have been authorized by the Board of Education to submit this application for Vocational Education program(s) and upon approval, to request reimbursement on an annual basis.

By _____
President, Board of Education

_____
Superintendent of Schools

Due

SCHEDULE E
01-009-DX2
Rev 12-12-80

STATE BOARD OF VOCATIONAL & TECHNICAL EDUCATION
APPLICATION FOR
SECONDARY & FULL-TIME ADULT
VOCATIONAL EDUCATION PROGRAM(S)
FOR SCHOOL YEAR 19
(Supplement)

GENERAL APPLICATION NO. _____
(PLEASE REFER TO THIS NUMBER WHEN COMPLETING SUPPLEMENTAL FORMS AND CORRESPONDENCE.)

SYSTEM _____ DATE _____

ADDRESS _____ COUNTY _____

The above named school district requests deletion or change of the following programs listed in Schedule A.

SCHOOL SITE AND CODE	LOCAL PROGRAM NAME	SDVTE PROGRAM NAME	I.D. NUMBER	ACTION CODE d-deletion c-change	EFFECTIVE DATE	LEVEL	FUNDING	NEW PROGRAM	LIMITED ENTRY	% FTE

The above named school district requests approval of the new vocational and technical programs listed below.

SCHOOL SITE AND CODE	LOCAL PROGRAM NAME	EFFECTIVE DATE	LEVEL	** FUNDING	NEW PROGRAM	LENGTH PROGRAM	% FTE	STARTING DATE	AVTS CHECK IF PROGRAM OFFERED LAST YEAR

(a) A written proposal should accompany all programs for which special funds are requested (e.g. disadvantaged and handicapped).

_____
SUPERINTENDENT OF SCHOOLS

Affirmative Action/Equal Opportunity Employer

SUBMIT THIS COPY TO OKLA. STATE DEPT. VOC. & TECH. EDUC.

Schedule F

THE VOCATIONAL EDUCATION AMENDMENTS OF 1976 REQUIRE THE USE OF A LOCAL ADVISORY COUNCIL IN THE DEVELOPMENT OF THIS APPLICATION. THE COMMITTEE MUST BE REPRESENTATIVE OF BUSINESS, INDUSTRY, LABOR, AND THE COMMUNITY IN SEX, RACIAL, AND ETHNIC COMPOSITION AND KNOWLEDGEABLE ABOUT THE SPECIAL EDUCATIONAL NEEDS OF PHYSICALLY OR MENTALLY HANDICAPPED PERSONS.

List the local advisory committee members who participated in the development of this application.

Name	Group Represented

Total Female_____

Total Racial/Ethnic Minority_____

Schedule G

THE VOCATIONAL EDUCATION AMENDMENTS OF 1976 REQUIRE EACH LOCAL EDUCATION AGENCY AND ELIGIBLE RECIPIENT TO PROVIDE CERTAIN DATA TO ASSIST THE STATE BOARD IN DETERMINING THAT THE PROGRAMS PROPOSED IN THE LOCAL APPLICATION MEET THE PROVISIONS OF THE LAW PERTAINING TO PLANNING AND COORDINATION.

1. Describe the vocational education needs of potential students in the area or community served by the applicant and indicate how and to what extent the programs proposed in this application meet such needs.

2. Describe how the findings of any evaluation of programs in Schedule A have been used to develop the programs proposed in this application.

3. Describe how the activities proposed in this application relate to manpower programs conducted in the area by a prime sponsor established under the Comprehensive Employment and Training Act of 1973, if any, to assure a coordinated approach to meeting the vocational education and training needs of the area or community.

4. Describe the relationship between vocational education programs proposed to be conducted with funds under The Vocational Education Amendments of 1976 and other programs in the area or community which are supported with state and local funds.

Assurances

In addition to the provisions that are found with the RFP, the following assurances are required in each approved funding agreement by the Oklahoma State Board for Vocational and Technical Education. The undersigned applicant agrees to comply with the following assurances:

A. The applicant will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Regulations of the Department of Health, Education, and Welfare (45 CFR Part 80) issued pursuant to the title, to the end that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives federal financial assistance from the Department. (The assurances of compliance (HEW 441), or court order, or desegragation plan previously filed with the U.S. Office of Education in accordance with the Department of Health, Education, and Welfare Regulations apply to this application.)

B. The applicant will comply with Title VII of the Civil Rights Act of 1964, as amended, which prohibits private employers, labor unions, employment agencies, state and local governments, and employees of educational institutions from discrimination on the basis of race, color, religion, sex, or national origin.

C. The applicant will comply with the provisions of Title IX of the Education Amendments of 1972 (20 U.S.C., Section 1681 et. seq.) and the regulations promulgated thereunder by the Department of Health, Education, and Welfare in so far as may be applicable hereto.

D. The applicant will comply with Section 504 of the Rehabilitation Act of 1973, P.L. 93-112. Section 504 provides that no otherwise qualified handicapped individual in the United States, as defined in section 7(6), shall, solely by reason of handicap, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.

E. The project will be operated in compliance with all applicable state and federal laws and with regulations and other policies and administrative issuances by the Oklahoma State Board for Vocational and Technical Education, including submission of such reports as may be required.

_____ _____

Date 3-79 Signature

Attachment I

KINDS OF PROGRAMS AVAILABLE TO LOCAL SCHOOLS

Regular and Cooperative Programs

Regular programs are designed to prepare students for entry-level employment or advanced education in the occupation for which trained or in a related occupation. Regular programs may be offered in the following instructional areas:

Vocational Agriculture	(12 month contract; grades 9-12)
Home Economics	(10 month contract; grades 9-12)
Trade and Industry	(10 month contract; grades 10-12)
Health Occupations	(10 month contract; grades 11-12)
Business and Office	(10 month contract; grades 11-12)
Distributive Education	(10 month contract; grades 10-12)

Cooperative vocational education programs are designed to coordinate classroom instruction with on-the-job training. The O-J-T component must be closely related to the classroom instruction, carefully supervised, and carried out under a written agreement between the school and the employer. Cooperative students must be compensated in accordance with applicable laws and regulations. Special consideration will be given to programs in schools which have high dropout rates and are located in counties with high unemployment. Cooperative programs are available in the following areas:

Voc. Agric. Occ. Trng. (VAOT)	(10 month contract; grades 11-12)
Home Ec Rel't Occup. (HERO)	(10 month contract; grades 11-12)
Cooperative Distrib. Educ.	(10 month contract; grades 11-12)
Cooperative Business & Office	(10 month contract; grade 12)
Cooperative Trade & Indus.	(10 month contract; grades 11-12)
Cooperative Interdisciplinary	(10 month contract; grades 11-12)

See Schedule B of the Application for Secondary and Full-Time Adult programs to request a new program in the areas listed above.

Disadvantaged Programs and Services

Special funds are available to assist those students in a school who have an academic or economic disadvantage that prevents them from succeeding in a regular program of vocational instruction. These funds may be requested to provide special supplementary services for individual programs of instruction for a group of disadvantaged students. A complete proposal describing the population to be served and the services to be provided is required before such a program can be funded. See Requests for Proposals and guidelines for proposal development to request funding for disadvantaged programs or services.

Coordinated Vocational Education and Training (CVET) is a special disadvantaged program designed for freshmen and sophomores in high schools. The objective of the program is to encourage potential dropouts to remain in school until they are eligible and prepared to enroll in a regular vocational program. The curriculum consists of related English, math, related science (optional), social studies (optional), and vocational training in one of the following areas: construction, horticulture, mechanics, home and community services or health occupations. To request a CVET program, indicate your interest on Schedule B of the application for secondary and full-time adult programs.

Handicapped Programs and Services

Special funds are also available to assist students who cannot succeed in regular programs of instruction because of documented physical or mental handicaps. These funds may be used to provide individual supplementary services or to provide a specially designed program for a group of handicapped individuals. A proposal describing the activities and services to be provided is required from each school requesting handicapped funds. See Request for Proposals and Guidelines for Writing Proposals.

Work-Study Program

Work-study programs differ from cooperative vocational education programs in that employment arranged for students on work-study jobs is not necessarily in fields related to their studies and by law they must be enrolled in a vocational program and employed by the local education agency or other public agencies or institutions. No student may be employed for more than 20 hours in any week in which classes are in session and must be between 15 and 21 years of age. If the student is not attending classes during the summer, there is no limitation on hours of employment or the amount of compensation earned except that a student may not be compensated at a rate which exceeds the hourly rate prevailing in the area for persons performing similar duties. Summer earnings will not limit the compensation paid during the academic year under work-study programs. A financial allotment will be granted to the school and may be used under the guidelines of work-study programs. Federal work-study funds alloted by the State Department of Vocational and Technical Education must be matched 50 percent from state and local funds, and total non-federal expenditures must equal the average non-federal expenditure for the three previous years. Use Schedule B to indicate your interest in participating in the work-study program.

Vocational Adult Education

Adult training is an area which should be expanded. Funds are available for organized training programs to prepare adults for a new job or to improve or upgrade skills in their current occupations. A request may be made by indicating the adult training program on Schedule B of the attached form.

Attachment 2

Demand Data

According to State Board Policy, all new vocational programs must be in high manpower demand areas. The data in the Occupational Training Information System Cycle 10 report indicates sufficient demand in the occupations for which the following programs train. Other programs will be considered when accompanied by documentable demand information from other reliable sources.

NOTE: PROGRAMS ARE RANKED IN DESCENDING ORDER USING NET DEMAND.

Statewide	Western Half	Eastern Half
Mid-Mgmt	Mid-Mgmt	Mid-Mgmt
DE-General March	ICE	DE-General March
ICE	DE-General March	Office Assistant
Office Assistant	Office Assistant	ICE
Food Services	Food Services	Food Services
Food Mgmt	Food Mgmt	Food Mgmt
Occupational Services	Truck Driver	Occ Services
Truck Driver	Occ Services	Cashier Checker
Cashier Checker	Bookkeeping	Bookkeeping
Bookkeeping	Cashier Checker	Nurse Assistant
Nurse Assistant	Nurse Assistant	Truck Driver
Heavy Equip Oper	Heavy Equip Oper	Machine Shop
Petroleum Occ	Clerk Typist	Secretarial Trng
Clerk Typist	General Office Clerk	Clerk Typist
Clothing Mgmt	Petroleum Occ	Welding
Machine Shop	Banking/Savings & Loan	Heavy Equip Oper
Banking/Savings & Loan	Horticulture	Auto Mechanics
Horticulture	Secretarial Training	Carpentry
Automotive Services	Machine Shop	Automotive Services
Meat Processing	Auto & Parts Service	Banking/Sav & Loan
Secretarial Training	Insurance	Practical Nursing
Plumbing/Pipe Fitting	Personnel Trng	Horticulture
Personnel Trng	Meat Processing	Personnel Trng
Insurance	Plumbing/Pipe Fitting	Plumbing/Pipe Fitting
Laundry/Dry Cleaning	Electricity	Insurance
Hotel Lodging	Clothing Mgmt	Clothing Mgmt
Water/Sewage Treatment	Laundry/Dry Cleaning	Sheet Metal
Sheet Metal	Finance/Credit	Electronics
Baker	Hotel Lodging	Meat Processing
Finance/Credit	Masonry	Aircraft Mech
Recreation Tourism	Water/Sewage Treatment	Electrician
Med Lab Aide	Recreation Tourism	Laundry/Dry Cleaning
Computer Operator	Carpentry	Recreation Tourism
Aircraft Mech	Baker	Finance/Credit
Electrician	Sheet Metal	General Office Clerk
Den Office Asst	Child Care	Hotel Lodging
Chemical Tech	Med Lab Aide	Baker
Bus Mech Repair	Computer Operator	Med Lab Aide
Child Care	Advertising Services	Printing
Optician Disp/Opt Mech		Computer Operator
Home Furn Serv		Masonry
Leather Working		
Library Asst		
Den Lab Tech		
Radio/TV Repair		

Arrange through your resource person to obtain a copy of the application/local-plan materials furnished by your state education agency for funding local schools and colleges with vocational programs. Carefully read the instructions and forms and identify the following:

- Signatures needed
- Contact persons
- Number of required copies
- Due dates
- Necessary data
- Return address

You may wish to arrange through your resource person to interview--in person or by phone--one or more contract/grant agents in your state education agency responsible for reviewing the annual vocational program applications. If at all possible, conduct the interview in person. You could structure the interview around such questions as the following:

- What are the major problems in getting applications approved?
- Who should be contacted when applicants have questions about the application forms?

The following items check your comprehension of the material in the information sheet, "Making Application for Federal and State Vocational Funds," pp. 9-27. Each of the three items requires a short essay-type response. Please explain fully, but briefly, and make sure you respond to all parts of each item.

SELF-CHECK

1. What are the primary differences between an application and a proposal? Why is it essential that the vocational administrator know the difference?

2. Why does confusion sometimes exist between what is contained in a local plan and an application for state and federal funds? How can you determine the difference for your institution?

3. What are some of the most common errors made by administrators when filling out application forms? Why are these errors critical?

Compare your written responses on the "Self-Check" with the "Model Answers" given below. Your responses need not exactly duplicate the model responses; however, you should have covered the same major points.

MODEL ANSWERS

1. The primary differences between applications and proposals are the source of monies and the way in which the institution uses the money. Funds obtained by the institution through the application process are federal and state monies that are to be used primarily for the support and maintenance of regular vocational instructional programs. Money that is obtained through submitting a proposal may come from a variety of sources and is usually designated for a "special" project. Proposal money is short term and often is designated for such activities as research, curriculum development, or exemplary activities.

   The vocational administrator must know the difference between these two funding sources because one provides for regular program support (applications) and one provides for the extras or nice-to-have items. Not having a proposal funded is a disappointment and an inconvenience; not having an application funded may mean disaster for a local vocational education program.

2. Confusion often exists between a local plan and an application for state and federal funds because each state education agency handles this process differently. Some states request both an application and a local plan on an annual basis, while other states request a local plan and also consider it an application. The best way to determine what is required is to call or write the contact person in your state education agency who is in charge of vocational program approval and funding.

3. Common errors made in applications submitted by local administrators include the following:

   - Not following instructions
   - Missing due dates
   - Providing inaccurate information
   - Not making enough copies
   - Mailing the form to the wrong office
   - Writing rather than typing forms
   - Missing signatures
   - Not following directions

Yes, these errors can be critical. If the forms are not filled out and filed correctly, the school or college may not receive any vocational education funds from state or federal sources.

Level of Performance: Your completed "Self-Check" should have covered the same major points as the model responses. If you missed some points or have questions about any additional points you made, review the material in the information sheet, "Making Application for Federal and State Vocational Funds," pp. 9-27, or check with your resource person if necessary.

Learning Experience II

OVERVIEW

After completing the required reading, demonstrate knowledge of administrative activities that support the development of project proposals.

You will be reading the information sheet, "Planning for Proposal Development," pp. 35-45.

You will be demonstrating knowledge of administrative activities that support the development of project proposals by completing the "Self-Check," pp. 47-48.

You will be evaluating your competency by comparing your completed "Self-Check" with the "Model Answers," pp. 49-50.

NOTES

Activity

For information about the steps you should take in organizing for proposal development, read the following information sheet.

PLANNING FOR PROPOSAL DEVELOPMENT

The local vocational education agency receives the bulk of its financial support annually upon submission of the completed program application forms. Compliance with your state's program application procedures should, therefore, facilitate reimbursement of the majority of program expenses, particularly in the areas of instruction, work study, placement, and other areas specifically addressed in the Vocational Education Act (VEA) basic grant.

There are, however, other sources of revenue available to local programs, which can be acquired only through the submission of project proposals--a more creative and complex activity than the program application procedure. Money that is solicited through proposals is often awarded on a competitive basis rather than on a strict formula basis (e.g., numbers and types of students served). Therefore, strong proposal writing skills are required in order to successfully explain and sell the project idea to the funding source. In other cases, the funding of proposals is determined using a base ranking list. For example, schools having the greatest need are at the top of the list. Also, points can be given if it is a new idea or program. If you want your proposal to be funded, you need to know how these decisions are made.

In this information sheet, we are going to assume that you have already identified financial resources for vocational education (covered in the module that is a prerequisite for this module). The funding source may be the government (state and federal), a private foundation, business and industry, or some other local funding source.

If you developed an idea for an extra or supplemental nonprogram activity that you wished to undertake and then sought a funding source, you should have assessed the appropriateness of your idea by determining if it met the tests of need, feasibility, potential benefits, and fundability.

Need. The first thing you should have done is make sure that a problem actually exists and that no one has been able to solve it. Eventually, when writing the proposal, you will need to summarize what has already been done relative to the problem area--if anything--and document why your idea is needed, as well as how your proposed project differs from similar projects. Through a review of the literature you may have found examples of similar projects. You then should have explained what could be learned from previous experiences and what was good or bad about other efforts in this area. You should also have included quotes from educators and community leaders to document the need for your project idea. You should have acquired letters of support from experts or practitioners supporting the need.

Feasibility. Although documenting the need is an important step, you should also have determined that your idea would, in fact, resolve the problem or at least improve conditions. In addition, you should have ensured that the idea could be implemented. In effect, you should have organized the project in your head--roughing out goals, objectives, and outcomes to determine whether you could accomplish your idea in a reasonable amount of time, for a reasonable amount of money, and with available human resources. You should have ensured that your idea was sound, both from a practical and theoretical viewpoint.

Potential benefits. You should have determined the potential benefits of your project idea, and you should now be sure that your project will have an impact on the maximum number of people in your target group and that the results of the project can be used by others. You should have identified and specified any other possible benefits: increased articulation or communication among educational institutions or agencies, ease of program installation, improved ability to meet the needs of special populations, and so on.

Fundability. Finally, if your idea clearly met a need and was feasible, you should have determined whether money was available for it. As a vocational administrator, you should have made it a point to be aware of what kinds of ideas were being funded by different government agencies, private businesses, and foundations. If you were on mailing lists of organizations that you knew to be responsive to vocational education issues, you should have had the basis for a file containing (1) information about newly funded programs and (2) guidelines for writing proposals for each particular funding agency. A search of your files should have narrowed down the list of potential funding sources.

If, on the other hand, you received a request for proposal (RFP) or application package indicating that funds were available to support a particular scope of work, you should have assessed the appropriateness of the proposed scope of work to the mission and capability of your institution by answering questions such as the following:

- Do the needs that are to be covered by the contract or grant relate strongly to needs that prevail in your own situation?
- Do you (or can you) have people and facilities adequate to perform the scope of work outlined in the guidelines? If you do not have the needed expertise on staff, can you hire personnel on a consultative or contractual basis for the duration of the project?
- Is it possible to prepare a suitable response to the guidelines within the time and other constraints that exist?
- Is your organization eligible to submit a proposal according to the funding agency's statutes and past practices?
- What is the time allowed by the agency for completion of the project? Can you do the work in the time specified?

- Is there any indication given by the agency of the scope of the effort involved (e.g., number of staff members, size of budget)? Does the agency specify the number of person-hours or person-years of effort required? Do you have to compute the amount of money they are planning to spend by using their base rate?
- Are the expected results of the project clearly spelled out? (If they are, you have less freedom to be creative. If they are not, you have more work but also more freedom to use your creativity.)
- Are you competing for money to direct the next phase of a project that another individual or organization has been running for a year or more? (If so, your chances of being awarded the contract or grant are very small.)
- Do you stand a reasonable chance to win the contract or grant, given the known competition?[2]

You should, in addition, have established contact with the appropriate person at the funding agency. If you had an idea for which you were seeking funding, you should have explained your project idea and determined both the agency's interest and the steps you should take next. If you were considering responding to an RFP or application package, you should have made contact to get clarification concerning any questions left unanswered by the RFP or application package.

The need to establish and maintain contact with the "funding community" cannot be overemphasized. It is only by initiating contact and asking the right questions that you can ensure that your proposal will be responsive to the RFP--or that you should be responding at all. The RFP may be "wired." This means that the funding agency has written the RFP so that only one specific proposer can get the contract. (This is more common with foundations than with public funders.)

This is not as devious a practice as it sounds. Assume, for example, that a particular university has done a lot of work recently on developing computer-assisted instruction. They have the expertise, the staff, and the capacity to do that job. By specifying in the RFP that proposers must have the specific expertise, staff, and capacity that only that one university has, the funding agency is "wiring" the RFP--but justifiably, if that's the job they want done.

In addition, not all RFPs or application packages are as thoroughly and clearly written as one might hope. In some cases, it is very difficult to determine exactly what the funders think they are asking for. It may be that, although the problem has been identified, the funding source isn't clear on what types of solutions should be sought. Or it may just be that the RFP

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2. Adapted from Walter M. Mathews, Patricia B. Campbell, Lisa Hunter, and Margaret Robinson, Developing Successful Proposals in Women's Educational Equity, Volume I: The Guide (San Francisco, CA: Far West Laboratory for Educational Research and Development, n.d.), p. 17.

isn't very well written. The easiest and best way to clarify this situation is to contact the designated person at the agency.

At this point, then, you should have some tentative plans and should be ready to seek a contract (e.g., by responding to an RFP) or a grant (e.g., by responding to an application package). The first step in this process is often the preparation of a preapplication.

Writing a Preapplication

Some funding agencies require a preapplication (letter of intent, concept paper, prospectus, or proposal outline) before you submit your full proposal. This preapplication may serve (1) as the focus of discussion during your initial visit with an agency contact person or (2) as an outline for the full proposal that you will be writing. Sometimes--but usually only with private foundations--the preapplication serves as the proposal itself and may wind up as the final contract between you and the funding agency.

The preapplication should be no more than three to five pages long, double-spaced. Unless the funding agency provides you with a format--which you should observe exactly--you should include the following elements in your preapplication:

- Name of your organization
- Name and address of the proposed project director
- Project title
- What you plan to do
- Why this needs to be done
- Steps involved in implementing the plan
- Who will be involved
- When and where the work will be done
- How much it will cost (estimate)
- Anticipated outcomes
- Method of evaluation
- How it will contribute to the goals of the funding agency

If the preapplication is to be in the form of a letter of intent, personalize the letter as much as you can by (1) mentioning any prior contact made with the agency regarding your idea and (2) referring to what you might know about the agency's operations. The contents of this preapplication may be used later as the basis for developing the proposal abstract, which will precede your full proposal.

Establishing Your Credibility

If you or your organization are unknown to the funding agency, it is important to convince the agency of your capabilities. Seize every opportunity available to get to know key people within the funding agencies. Establishing personal contact and developing rapport with these individuals can be tremendously helpful.

You might also want to establish a "credibility file" that you can take with you to a preapplication meeting. This file could include the following types of information:

- Resumes--yours and those of other staff members
- Letters of endorsement from professional and community leaders
- Copies of any publicity about yourself or your organization
- Brochures describing your organization
- Quotes from experts supporting the value of your idea
- Copies of publications by you or staff members attesting to the professional standing of the staff and the organization, especially any materials that relate to the proposed project

An excellent way to establish credibility for yourself and your organization, of course, is to start with a small $5,000-$20,000 project and complete it successfully. A good track record will build credibility and lead you gradually into successful competition for larger projects.

Another way of establishing credibility is to involve experts on your project committee or advisory board. Their association with your project can enhance it in the eyes of the funding agency, besides providing you with valuable resources to assist in project planning.

Obtaining Your Institution's Authorization to Pursue Funding

Once you are close to actually writing and submitting the proposal, you need to make sure that you have the required authority to continue. Some larger organizations require a sign-off procedure even for preapplications in order to monitor the resource development process. Most organizations designate a special person to sign all legal documents--and a proposal that is funded becomes a legal document--before they are submitted. This person, as well as any others upon whose decision making you depend, should be informed in advance of your intent to develop a proposal, so that the proper procedures can be followed and any problems ironed out before you actually begin to write.

Institutional authorities will be very concerned about the potential impact of a funded proposal on the institution. For example, how much money

must the institution commit? Some funding agencies require 10 percent of the project cost to be borne by the submitting institution. Some require a specific local match as high as 55 percent. Will you have to purchase equipment? Most funding agencies will not reimburse you for equipment, whereas some will allow reimbursement of 50 percent of the cost for equipment. Indirect expenses to the institution must be considered. You will be using ancillary and other staff support, such as business office personnel and the student personnel office staff. Office space, furniture, and equipment to be used by the project staff must be considered. Will the funding agency cover these expenses directly or by allowing a percentage of the total project to be covered as indirect costs? You may have to acquire additional staff for the project. Will the institution be able to absorb the persons? You must have satisfactory answers to these questions in order to obtain institutional authorization to pursue the funding.

This step--obtaining authorization--cannot be overemphasized, and you should initiate steps early in the process to obtain this authorization. If you wait to assess the attitudes of the governing board toward submission of proposals, you may complete a great deal of work in vain. If the board is unwilling to continue programs once outside funds are dissipated, then your chances of effecting real change are greatly reduced. Some boards, in fact, are so unwilling to get "stuck" with maintaining programs whose outside funding has expired that they will not authorize the submission of such proposals. You need to know these things early so that your proposal planning efforts are not wasted.

Assigning Staff to the Task

If you do not plan to do all of the information-gathering and writing yourself, you need to plan staff assignments carefully so that a coherent product will be developed. The best situation is to have the person who will manage the project also manage the proposal development process (proposal manager) and, if possible, write most of the proposal. This helps to ensure that the proposal reflects the project objectives and that the style and organization of the proposal are consistent throughout. However, if a team of writers (no more than two or three persons) is to be used, you need to make sure that the directions are very clear. In addition, one person must be designated to do overall editing and proofing for proper English and consistent format.

Staff other than writers must also be considered. One secretary is usually enough to handle draft materials, especially if a word processor is available. Some assistance may be needed from media specialists to design graphs or charts or to handle any special typing needs for the final draft. If your organization has a business office, include someone who can help you develop the proposal budget. If such help is not otherwise available, an accountant or someone who has prior experience in preparing proposal budgets should be enlisted or hired to help you. This is also the time to decide whether you need and can afford specialists or consultants who can help you with the research and design of your project. There may also be professionals

on your board or advisory committees who could lend some time and expertise to the development of the proposal or refer you to current literature on the subject.

Sometimes it is advantageous to collaborate on the proposed project with an external agency that has a mission similar to yours or that has skills to lend to your project objectives. If collaboration is allowed by the funding source, clarify your interest to the collaborating agency, making clear what contribution you wish them to make. It may be necessary to ask potential collaborators to submit draft materials spelling out their planned contribution to the project. You or your writers would then need to incorporate these materials into the proposal narrative.

Finally, identify someone who has written successful proposals and ask that person if he/she will review the final proposal package before it is ready to be sent in. A proposal reviewer with a fresh perspective can often pick up inconsistencies missed by the writers themselves.

Providing Staff with Direction and Support

Having arrived at the final decision to go ahead with the proposal, it is then essential for you or another designated proposal manager to take strong control of the organizational factors that will produce a high-quality proposal within the deadlines that are set in the RFP or application package. You can do this by sitting down with your writing staff, advisory board, and other consultants or collaborators to clarify exactly what has to be done, who will do it, and when it must be done in order to meet the final deadlines.

The RFP or application package is the working document for these meetings, and you should see that everyone has a copy. Because it is essential that you follow the format exactly, you should break the document out section by section, discuss its contents, and make appropriate assignments. A worksheet such as the one shown in sample 3 can be useful at this time. It may also be useful to you as a final review tool and in formulating the proposal abstract.

Supporting the Proposal Development Effort

Providing administrative support for the initial steps in proposal development also includes the following activities:

- Designing and disseminating a schedule of events
- Providing staff with adequate time and resources to complete their assignments
- Training staff in proposal writing procedures

SAMPLE 3

RFP/PROPOSAL CROSS-REFERENCE MATRIX

Funding Agency Requirements	RFP Page #	Proposed Responses	By Whom	Final Page #
A. THE PROBLEM--sponsor's need, requested solutions, expected outcomes				
B. THE OBJECTIVES--products, outputs, specifications				
C. PROCEDURES--implicit or explicit approaches and plans of action				
D. OUTCOMES--expected measures of success				
E. TIME PERIOD--length of project, renewability				
F. HUMAN RESOURCES--expertise, external participants, role of sponsor				
G. FISCAL RESOURCES--dollar restrictions or parameters				
H. AGENCY CAPACITY/CREDIBILITY--past accomplishments, cost-sharing, facilities, in-kind contribution				
I. SUPPORTING DOCUMENTATION--resumes, letters, other appendages				
J. FUNDING SOURCE REVIEW CRITERIA--explicit, implicit				
K. PROPOSAL PREPARATION AND SUBMISSION--formats, submission dates and addresses				
L. OTHER REQUIREMENTS--implicit or explicit				

Designing and Disseminating a Schedule of Events

You and your proposal preparation team must have a clear sense of how proposal development is progressing. To do this the proposal manager must create a schedule, with dates to indicate when each phase must be completed in order to meet final deadlines. Sample 4 shows an example of this type of schedule, which should be developed with and disseminated to each member of the proposal team. The proposal manager should keep a master copy of this schedule, indicating the final completion date of each proposal development phase in the space provided.

Providing Staff with Adequate Time and Resources

Not only should the schedule recognize the all-important submission deadlines, it must also accommodate the various work loads of the proposal team members. Unless you and your staff are unencumbered by other responsibilities, you will need to try to arrange some released time for you and other staff who are working on the proposal. While it is rarely anyone's choice, it should be recognized that proposal writing often necessitates some overtime work on nights and weekends to meet firmly established deadlines.

In addition, you should provide for any development expenses such as duplicating costs, the possible hiring of consultants, and computer searches.

Training Staff in Proposal Writing Procedures

No one enjoys jumping blind into any project--nor can you expect staff to respond well without specific instruction. If you ask someone to write a rationale or to draft a budget without supplying a suggested format or specific instructions, you can only expect extreme differences in style and quality.

If you have time yourself, consider running a proposal developer's workshop using one of the many proposal development manuals available. Working with a common reference, you can adapt procedures to suit your organization in terms everyone can agree to. Beware of sending individual staff off to learn independently--the result will be several experts, probably disagreeing on many points.

Another possibility is to send yourselves to a workshop. Many organizations such as The United Way and the League of Women Voters sponsor proposal development workshops for little or no fee. Local colleges and universities frequently provide courses and workshops on proposal development at a reasonable cost. Your state education agency may also have good proposal writing guides and hold occasional workshops.

SAMPLE 4

PROPOSAL DEVELOPMENT SCHEDULE

Activities	Date To Be Completed	Date Actually Completed
Ascertain availability of funds		
Obtain institutional authorization to pursue proposal development		
Hold orientation meeting		
Analyze RFP		
Make staff assignments		
Write basic proposal		
Rationale		
Procedures		
Evaluation plan		
Management plan		
Budget		
Type proposal draft		
Review proposal and edit		
Assemble proposal with all required forms and appendages;* write proposal abstract		
Type and prepare proposal for reproduction		
Submit for final internal review and approval		
Reproduce and sign off proposal copies		
Distribute to funding agency		

*A separate check-off sheet is helpful in ensuring that all forms and appendages are included. Programs for the handicapped, for example, require the inclusion of certain documents not needed for other programs. Listing these and checking them off ensures that you meet the established requirements.

Once you have some proposal writing training and experience behind you, the best procedure is to write your own proposal development handbook, reflecting your organization's experience. In this way, you can illustrate all the forms and procedures required by your organization's resource development policies, keep updating them, and have a reference manual for training new proposal writers.

At this point, you would have the outline of a project idea that you know to be needed, feasible, and fundable. You would have in hand the proposal specifications of your funding target. You would have designated staff, consultants, and collaborators to make appropriate contributions to both proposal writing and project development. You would have plotted and planned the sequence of activities that will allow you to meet final submission deadlines. In short, your planning for writing the proposal would be complete, and you and your staff would be organized and poised to begin the actual writing.

NOTES

The following items check your comprehension of the material in the information sheet, "Planning for Proposal Development," pp. 35-45. Each of the three items requires a short essay-type response. Please explain fully, but briefly, and make sure you respond to all parts of each item.

SELF-CHECK

1. Imagine that you have a project idea that addresses a need and is fea-sible, and for which you have a potential funding source. The funding source requires a two- to three-page preapplication letter prior to a full proposal. What topics should be covered in such a letter?

2. It is certain that your project idea is feasible as well as fundable, and you have been authorized to proceed with proposal development. What orga-nizational tasks remain to be accomplished before writing can actually begin?

3. Imagine that you have obtained an RFP that appears to address your project idea. In analyzing the RFP, what criteria would you use tto decide whether to pursue these funds?

Compare your written responses on the "Self-Check" with the "Model Answers" given below. Your responses need not duplicate the model responses; however, you should have covered the same major points.

MODEL ANSWERS

1. A preapplication letter should be informative and brief and should indicate that you have a knowledge of the interests and activities of the funding source. It should describe the proposed project, covering the following areas:

   - Name of your organization
   - Name and address of the proposed project manager
   - Project title
   - What you plan to do and why
   - How you will go about it
   - Who will do it
   - When and where the work will take place
   - What outcomes are expected and how they will be evaluated
   - What you estimate the cost to be
   - How it will contribute to the goals of the funding agency

2. Once you have the "green light" to proceed with the proposal, you need to do the following, although not necessarily in the order described:

   - Write and revise a preapplication in light of RFP criteria and format
   - Gather resources to establish credibility
   - Assign staff to the tasks
   - Provide staff with direction and support, to include the following:
     - Designing and disseminating a schedule
     - Providing staff with adequate training
     - Providing staff with adequate time and resources

3. First, you need to examine the RFP to make sure your organization is eligible according to the funding source's regulations and past funding practices. Other criteria would be as follows:

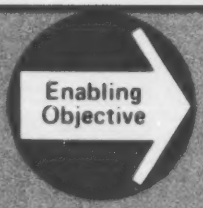
   - Can you prepare the proposal and complete the project in the time specified?

- Has someone else received the contract for the first phase of the project, and is it likely that this person or organization will continue to receive money for the continuation?
- Is the funding source prepared to spend as much money as you think you need?
- How specific are the criteria for the expected outcome of the contract? If specific, do you feel your creativity will be frustrated?
- Do the needs that are to be covered by the contract or grant relate strongly to needs that prevail in your own situation?
- Do you (or can you) have people and facilities adequate to perform the scope of work outlined in the guidelines? If you do not have the needed expertise on staff, can you hire personnel on a consultative or contractual basis for the duration of the project?
- Do you stand a reasonable chance to win the contract or grant, given the known competition?

Level of Performance: Your completed "Self-Check" should have covered the same major points as the model responses. If you missed some points or have questions about any additional points you made, review the material in the information sheet, "Planning for Proposal Development," pp. 35-45, or check with your resource person if necessary.

Learning Experience III

OVERVIEW



After completing the required reading, demonstrate knowledge of the process for writing and submitting project proposals.

You will be reading the information sheet, "Writing and Submitting Project Proposals," pp. 53-76.

You may wish to interview a resource development officer (or similarly titled person) at a school, college, or university to gain firsthand information about writing project proposals.

You may wish to secure copies of one or more funded proposals that you can review and critique.

You will be demonstrating knowledge of the process for writing and submitting project proposals by completing the "Self-Check," pp. 77-78.

You will be evaluating your competency by comparing your completed "Self-Check" with the "Model Answers," pp. 79-82.

NOTES

Activity

For information about how to write, assemble, and submit proposals and follow up on the funding agency's response, read the following information sheet.

WRITING AND SUBMITTING PROJECT PROPOSALS

A successful proposal package is a conceptual triumph for the proposal manager. What you are really doing is trying to respond to the following three sets of needs at once, so that in acting to solve the problems related to one set of needs, you are addressing or alleviating problems in the other need areas as well:

- The need to resolve the educational problem at the heart of your project idea--If you are going to solve a problem, you have to come up with a realistic method that should close the gap between what is and what ought to be. Starting with a statement of what needs to be done and why, you must further delineate the project by describing goals, objectives, tasks, and expected outcomes. Every planned aspect of your project, from tasks to outcomes, must illustrate that you know what to do, how to do it, and how to evaluate its results. Keep in mind that your planning at this point will not only serve the requirements of the proposal but also provide the blueprint for the project, through which you hope to alleviate a documented need or solve an educational problem.
- The need to help your institution maintain itself through this and other projects--An infusion of new money into your institution is an obvious benefit of the funded proposal. Make sure, however, that what you propose is truly within the scope of your institution's capabilities--that you can do what you say you can do with the given resources. A poorly conceived and executed project can jeopardize your reputation--and that of your institution--even though it might have brought in some temporary money. Also, don't put your institution in the position of "robbing Peter to pay Paul" by requiring such a large commitment of internal resources that other vital programs suffer.
- The need of the funding agency to choose the most qualified among many applicants for the available funds--Because you want your project to be selected for funding, you must take special care to understand who will be evaluating your proposal, what their criteria are, and who your competitors are. Observe explicit rules of format, eligibility, and deadlines exactly. Other guidelines, such as those implied in the proposal evaluation criteria, can tell you what parts of your proposal should be emphasized above others. It may be helpful to assume that the proposal reviewers are in opposition to your basic position. In this way, you will struggle to consider every aspect of your proposal package from their perspective.

General Considerations

Before sitting down to begin the actual writing of the proposal, there are some general areas you should consider relative to how the proposal should be organized and presented.

Content Development

Every part of your proposal must be logically developed and integrated so that the needs of the project, institution, and funding source are clearly represented. For example, a proposal reviewer shouldn't have to wonder why a particular capability of the applicant's institution is mentioned although it appears to have no relevance to the project at hand. Nor should an elaborate project evaluation plan be suggested without reference to what it will accomplish and who pays for what. Following are some additional suggestions to keep in mind as you consider the content of your proposal:

- The need for the project must have been adequately assessed or a critical problem that needs attention must have been adequately identified.
- Your idea must be within the scope of the law, regulations, and guidelines of the granting agency.
- The objectives of the program or product you are proposing must be within your control and stated concisely in measurable terms.
- An effective methodology for accomplishing your goals and objectives must have been developed. The use of an advisory council or the involvement of the audience or target group can be helpful in obtaining grassroots ideas of need and strategy. The project activities must be designed logically to alleviate the problem or need.
- The budget must reflect the level of necessary project activity and be realistic relative to the total amount of funds available. (Don't ask for $100,000 for your project if only $500,000 was appropriated for all programs in the United States.)
- Your organization's interest in and commitment to your project must be shown by describing the extent to which the organization will provide released time for staff, use of buildings, reduced overhead, and so on. These contributions must be related to the project budget.
- The evaluation plan must be closely tied to the objectives and methodology and must not be expensive in relation to the total budget (less than 10 percent). The evaluation must be connected to the needs.

- A plan for continuing the proposed activities once outside support ceases must be available, assuming that the project is evaluated as being successful.[3]

Format and Style

Once you have settled upon the overall content of your proposal and are ready to write, you will need to think about how to present your ideas clearly and forcefully so that they will be evaluated favorably. Following are some tips on style and formatting that should enhance your proposal:

- Don't use a committee of many writers. In general, the fewer writers involved, the better the proposal. If a committee approach is used, one person (e.g., project manager), working with editorial assistance, should have overall authority in order to ensure consistency of content and style.
- If you have trouble getting started, begin with the budget. Money has a strange way of defining your methods and objectives.
- Aim your "pitch" at one individual (preferably a proposal reviewer). Try to visualize that person.
- Use quick openers--such as the "who, what, why, where, when, and how" statements used by a good newspaper reporter. Catch the reader's attention early and keep it.
- Don't make a mystery out of your proposal. Start right in with the most important point.
- There's no need to be sly with granting agencies. You can "come in the front door," "make the pitch," and "close the sale."
- Don't use a personal style of writing (e.g., I, we). Refer to your organization as if it were a third party being spoken about (e.g., Hill Community College, the College; it; staff at Hill Community College, they). This style sounds more objective, and it's easier to brag about "they" than "I."
- Accentuate the positive; emphasize "opportunities" rather than "needs."
- Beware of "iffy" and "hopeful" statements; be positive.
- Beware of professional jargon, abbreviations, and vague references.
- Don't use overkill. Remember you are dealing with sophisticated customers, and too much sugar can sour the wine.
- Keep your paragraphs short, and present only one thought per paragraph.

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3. Charles Achilles, Harriet Crump, and Lynda Moss, "The Funding Game for Profit," Illinois Parks and Recreation. (November-December 1977): 5.

- Try to limit each sentence to 15 words or less.
- Try to limit yourself to two commas per sentence. This keeps you from saying more than one thing at a time.
- Use nickel and dime words, but don't insult the reader's intelligence.
- Use contractions freely. That's the way you talk, isn't it? It's the key to more effective, readable writing.
- Be liberal with spacing, subheadings, and underlining to make the proposal easy to read and to emphasize important points.
- If the proposal is a long one (more than ten pages), prepare a table of contents.
- Number the pages for easy reference by proposal reviewers.
- Select an appropriate (and interesting) title of ten words or less. Don't be cute or hammy.[4]

Above all, use what you know about your funding source to shape your proposal format and style. Is there an RFP or proposal outline to work from? If so, then follow it exactly (e.g., if the RFP suggests that the proposal should be written in two separate booklets--technical proposal and cost proposal--then do just that). Will your proposal reviewers be familiar with educational jargon? If not, don't use it and carefully define any new terms that must be used.

It is also helpful to have available to all proposal writers (1) a proposal writing guide that covers matters of writing style and format, (2) written procedures developed by you and/or your staff for planning, writing, and submitting proposals, and (3) a selected English grammar book to resolve questions of grammar and word usage.

Contact with the Funding Agency

When you received the RFP initially, you should have called the funding agency to establish or renew personal contacts, clarify the intent of the RFP, and gain any additional information that would help you understand the funding agency's thinking. You should have determined who would be reviewing the proposals. Internal staff? Outside experts? Content specialists? As the contact person responded to your questions, you should have listened carefully to what was said. What contemporary concepts, special concerns, and particular procedures are they thinking of? What "buzz words" (the current preferred jargon to use in referring to a particular concept) are they using?

Now is the time when all the information you gathered through such contacts becomes essential to you. In writing your proposal, you need to

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4. Adapted from Daniel Conrad, The Grants Planner (San Francisco, CA: Institute for Fund Raising, 1976), pp. 234-235.

incorporate those concepts, concerns, and buzz words. In the words of one knowledgeable state agency funding representative:

> Successful proposers know that good proposals are "tuned" to the funding agency. They use the right "buzz words." They "key in on" what the funding agency is looking for at a particular time. They know what the funding agency likes and doesn't like--what's "in" and what's "out." It's that personal and political (nonpartisan) touch that can swing a decision in the proposer's favor. Public funding agencies strive diligently to be fair and impartial. And we'd like to say that we do a pretty good job. But we'll be the first to admit that, when given two good proposals--one from someone we know and trust can do the job and one from a person we've never had contact with before--we'll probably embrace the "known" proposer.

Proposal Evaluation Criteria

If you want to win a contest, you have to know what the rules are. In like manner, if you want to develop or manage the development of a successful proposal, you need to carefully review the evaluation criteria to be used in evaluating your work. Available simply for the asking, if not included with the RFP package itself, the proposal evaluation criteria merit careful study by everyone concerned with the proposal (see sample 5). Most proposal evaluation guides assign specific weights in the form of the maximum points that can be given in each major section of the proposal (e.g., objectives, procedures, evaluation). For each section of the proposal, specific criteria are given to be used by the reviewers in determining the merit of the section. The importance of reviewing and studying these criteria over and over again before you begin to write the proposal cannot be overemphasized.

Writing the Proposal Contents

At this point, you should have done just about everything you can to organize yourself for proposal writing. It's time now to sit down and write your project plans in a format that will cover the basic contents of your proposal. Although the outline will differ somewhat among funding agencies, most proposals are acceptable if they conform to the following outline of sections:

- Proposal rationale
- Procedures (plan of action)
- Evaluation plan
- Management plan
- Budget

SAMPLE 5

PROPOSAL EVALUATION GUIDE

RFP Code No. _____

Proposal Title _____

_____

Agency _____

Instructions: Before rating the proposal, be sure to study the RFP to which the proposal is a response. Below are a series of questions that will require a response. Your careful completion of this guide will (1) assist the Research and Development Section (RDS) staff in selecting and negotiating the most appropriate proposal for funding and (2) provide RDS with information that will assist applicants in critiquing their proposal.

1. Does the proposal address the needs specified in the RFP?

   Yes _____ (Continue with review) No _____ (Comment required. Please cite specifics. The proposal needs no further evaluation.)

   COMMENTS:

2. Does the proposal demonstrate that the completed project will have a significant impact on vocational education?

   Yes _____ (Continue with review) No _____ (Comment required. The proposal needs no further evaluation.)

   COMMENTS:

Note: In scoring the following, one (1) is the lowest rating a proposal can receive in each area.

OBJECTIVES (____ of 15 possible pts.)

1. Is each objective explicitly related to the intent of the RFP and the goals stated in the rationale of the proposal?..... Yes No
2. Does each objective contain the following elements:
   a. Target population(s)?..... Yes No
   b. Outcome(s) expected?..... Yes No
   c. Criteria or components that will enable project staff to measure the degree to which the objective was achieved?..... Yes No
   d. Time and place under which the outcome(s) are to be measured?..... Yes No
3. Taken as a set, will the objectives accomplish the intent of the RFP, as well as the goal of the proposal?..... Yes No
4. What are the section's strengths and weaknesses?

PROCEDURES (____ of 15 possible pts.)

1. Is each procedure explicitly related to the objective(s) it is designed to accomplish?..... Yes No
2. Is each procedure appropriate for accomplishing the objective(s) it is supposed to achieve?.. Yes No

SOURCE: Request for Program Improvement Proposals in Vocational Education (Springfield, IL: Illinois State Board of Education, Adult, Vocational and Technical Education, 1982), pp. A-18 to A-22.

3. Is each procedure explicit and specific as to the following:
   a. When it will be implemented and completed?..... Yes No
   b. Which staff member(s) will be involved?..... Yes No
   c. What equipment, materials, or facilities are necessary?..... Yes No
   d. What target population(s) will be served?..... Yes No

4. Taken as a set, will the procedures accomplish the intent of the RFP, as well as the objectives of the proposal?..... Yes No

5. What are the section's strengths and weaknesses?

EVALUATION (____ of 15 possible pts.)

1. Is each evaluation technique explicitly related to the objective(s) it is designed to evaluate?..... Yes No

2. Does each evaluation technique include a statement of when it will be conducted?..... Yes No

3. Is each evaluation technique adequate to evaluate the procedure(s) and/or objective(s) it is designed to evaluate?..... Yes No

4. Is evaluation of all procedure(s) and objective(s) planned?..... Yes No

5. Does each evaluation technique indicate which staff member(s) will be involved?..... Yes No

6. What are the section's strengths and weaknesses?

DISSEMINATION PLANNING OUTLINE (____ of 10 possible pts.)

1. Does the proposal contain the required dissemination planning outline?..... Yes No

2. Are the outcome(s) to be disseminated addressed in the outline?..... Yes No

3. Are the target audience(s) of the outcome addressed?..... Yes No

4. Are specific dissemination activities described, including identified target audience(s) and the intent of the activity?..... Yes No

5. Are short- and long-term follow-up activities described, with the purposes of measuring effectiveness, use, and needed assistance?..... Yes No

6. What are the section's strengths and weaknesses?

STATEMENT OF IMPACT (____ of 10 possible pts.)

1. Is each statement of an intended impact explicit and specific as to the following:
   a. Target populations?..... Yes No
   b. The precise nature of the intended consequences (e.g., change in specific skills, knowledge, attitudes, interests, values, perceptions)?..... Yes No

2. What are the strengths and weaknesses of the statements?

TIME/SEQUENCE GRAPHIC PRESENTATION (____ of 5 possible pts.)

1. Are the procedures, evaluation techniques, and dissemination and utilization methods that are stated in the graphic presentation the same as those in the narrative?..... Yes No

2. Are the procedures, evaluation techniques, and dissemination activities that are stated in the graphic presentation in chronological order, with the procedures and evaluation techniques cross-referenced to the objective(s) and/or procedure(s) they are designed to accomplish or access?..... Yes No

3. Will the graphic presentation aid in the monitoring of the project's activities?..... Yes No

4. What are the section's strengths and weaknesses?

QUALIFICATIONS (____ of 10 possible pts.)

1. Are the stated experiences and qualifications of the project director and each of the proposed staff pertinent to project activities?..... Yes No

2. Are the specific responsibilities of the project director and each of the proposed staff explicitly stated?..... Yes No

3. Are the stated experiences and qualifications of the consultant(s) and/or subcontractor(s) pertinent to the project activities?..... Yes No

4. Are the specific responsibilities of the consultant(s) and subcontractor(s) explicitly stated?..... Yes No

5. Are there provisions assuring that the prime contractor will retain supervision and administrative control over the subcontractor(s)?..... Yes No

6. Does the submitting agency have the necessary resources and facilities to implement the proposal?..... Yes No

7. Does the composition of proposed personnel reflect the State Board of Education mandate for equal employment/educational opportunities/affirmative action regardless of sex, color, national origin, religion, age, or handicap?..... Yes No

8. What are the section's strengths and weaknesses?

BUDGET (____ of 10 possible pts.)

1. Are the budget figures realistic in terms of the following:

   a. Project objectives?..... Yes No

   b. Project procedures (including evaluation, dissemination, and utilization methods that will occur by the end of the fiscal year)?..... Yes No

   c. Final products?..... Yes No

2. What are the budget's strengths and weaknesses?

EQUITY (____ of 10 possible pts.)

1. Does the content of the proposal indicate efforts planned for complying with the State Board of Education mandate for sex-fair language and visuals in all the written and/or audiovisual materials produced?..... Yes No

2. Do the procedures, evaluation techniques, and other proposed activities (e.g., workshops) fairly represent all populations relevant to the proposed project (e.g., sex, color, national origin, religion, age, or handicap)?..... Yes No

3. What are the proposal's strengths and weaknesses regarding equity?

SYNTHESIS

1. Why do you recommend or not recommend (circle one) this proposal for funding? Use your responses to the strengths/weaknesses question under each area as a basis for your statement.

2. I rank this proposal _____ of the _____ proposals submitted (as responses to a specific RFP).

The Proposal Rationale

This is the first section of your proposal, presenting an overview of what needs to be done and why. It is usually organized into (1) a statement of the problem or need, (2) a brief review of the literature, (3) project goals and objectives, and (4) scope of work. The rationale should be snappy, concise, and logical, inviting the reviewer to read further into the more technical how-to parts of the proposal.

The statement of need--documented by relevant and timely statistics and research gleaned through your review of the literature--should lead naturally to a statement of your solution to the problem through project goals and objectives. Be sure that your need statement is not so global that it cannot be addressed through the objectives, which should be described in greater detail in the plan of action.

The scope-of-work section should highlight the proposed design of your project. It should serve as a preview of how you plan to proceed, what outcomes you anticipate, and their significance in addressing the need. Some reference to how you plan to evaluate project processes and outcomes, as well as the capability of your institution to undertake this endeavor, can be presented here.

Don't lose your readers by making grandiose statements or exaggerations that suggest that you don't know what you are talking about. Don't refer to your institution as "unique" unless you know for sure that nothing like it exists anywhere in the world. Be very familiar with other efforts made to solve the problem or need so that you can present your suggestions in the correct context of what has or has not been attempted before now.

The Procedures (Plan of Action)

The procedures section (which may also be called the plan of action) should expand upon the objectives and scope of work outlined in the rationale. This is the how section of your proposal, which should describe the tasks and activities you will perform to meet your stated objectives.

Your procedures should be extremely well thought out, with every task and activity listed as a subpart of a particular objective. It is useful to include a work breakdown structure (see sample 6) that outlines and sequences, task by task, the work that will later be tied to the management and budget plans.

Omit nothing in describing the project procedures. Reviewers will assume that if it isn't in the proposal, it is not part of your project plan; and if it is not part of your plan, there should be nothing specified in the budget

SAMPLE 6

WORK BREAKDOWN STRUCTURE

Program Objective	Activities	Tasks
1.0 Conduct five workshops on grantsmanship for a minimum of 100 participants by February 15, 1983	1.1 Select participants	1.1.1 Prepare list of potential participants
		1.1.2 Develop promotional materials
		1.1.3 Distribute promotional materials
		1.1.4 Log participant responses
		1.1.5 Notify participants of selection
		1.1.6 Prepare participant list for each workshop
	1.2 Develop workshop materials	

SOURCE: Richard A. Gustafson, Proposal Writing: Obtaining New Funding For Career Guidance Programs (Columbus, OH: The National Center for Research in Vocational Center, The Ohio State University, 1979), p. 25.

to support it. The following suggestions may help you determine the scope of descriptive detail required in the procedures section:

- If you are going to work with participants or clients in your project (e.g., teachers, students, the disabled, the elderly), describe them and explain how they are going to be selected. Your description should include the participants' level of skill and relevant previous experience, as well as such appropriate demographic variables as sex, race, and age.
- If you are going to use existing materials, describe them or describe the procedures you will use to find them. Describe who will use the materials, how long the materials will be used, and how you will assess their effectiveness.
- If you are going to develop materials, describe their proposed format and discuss why this particular format was selected. You should also provide a tentative outline of at least some of the materials you will be developing, including an indication of what sources will be used in developing the content.
- If you are going to provide services, describe those services, who will provide them, how the providers will be trained, where the services will be provided, who the recipients of the service are, and how they will be selected.
- If you are going to provide training, describe what the training program will be like, how long it will last, who the trainers and trainees will be, and how they will be selected.
- If you are going to conduct a research study, describe the sample, the design, the instrument, the treatment, and the data analysis procedures.[5]

A discussion of how you plan to share your new information or products with others should be included with the description of the anticipated products or outcomes. This is an especially important aspect in proposals for federal government monies. You may choose to disseminate project results through journal articles, newspaper stories, and professional meetings. Or you may have your own creative approach to sharing what you have developed.

The Evaluation Plan

The evaluation plan is usually referred to in the rationale and is sometimes discussed as part of the procedures section, but it is most often fully developed in a separate section of the proposal.

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5. Mathews, Campbell, Hunter, and Robinson, Developing Successful Proposals in Women's Educational Equity, Volume I: The Guide, p. 68.

Evaluation of your effort serves to help both you and your funding source to make decisions about your project. In most cases, the RFP will specify that a certain amount of points will be awarded for the evaluation plan and that this plan must include evaluation strategies (i.e., what you plan to assess, how and when you plan to do it, who will conduct the evaluation, and how the results will be used). Unless you have had training in evaluation methodology, you may wish to consult a specialist to help you with the design.

If the evaluation is designed to assess the processes through which your project objectives are achieved (e.g., did planned meetings and observations occur under the designated conditions?), it is called formative evaluation. Formative evaluation can be especially helpful to you, as a project manager, because it allows you to spot what is going wrong and to correct it in time to still achieve your objectives.

Product or summative evaluation, on the other hand, deals with the overall success of your project in meeting its objectives. For this you need instruments such as tests, questionnaires, interview guides, and observation schedules. Many evaluation instruments have been developed that may suit your purposes.

If you decide to design your own instruments and the federal government is your funding source, you should be aware that the Office of Management and Budget (OMB) requires that you submit the instruments for clearance before you use them. OMB checks for validity, necessity, practicality, and ensures that respondents' privacy rights are not violated. The clearance process is lengthy--from four to six months--so be sure to allow enough time in your planning.

The Management Plan

In the management-plan section of your proposal, you need to describe the mechanisms and resources of your organization through which you will meet your project objectives. The management plan should include the following sections:

- Staffing: Who will do the work
- Organization: How the staff will work together
- Time schedule: When the tasks and activities will be accomplished
- Institutional capacity: What facilities, previous experience, and other resources your organization can supply to help the project

Staffing. Staffing arrangements should be explained in your proposal by listing positions and including names of staff who will fill them. If you don't know who the person will be, describe the qualifications anyway, using a position title such as the following: Program Assistant--Vacant (50 percent time)

The amount of time that each staff member will work on the project (e.g., 50 percent, 100 percent) should be included, as well as a short description of his/her qualifications. Complete vitae or resumes are usually attached as an appendix. Each vita should cover all relevant experience, formal or informal, that qualifies the staff member for this position. If you are expecting to use consultants, an advisory council, or collaborative agreements, their role in achieving project objectives should be included here.

Organization. Explaining the details of how the scope of work will be organized among staff is easier if you use charts. A personnel matrix chart illustrates the number of days of effort expected of each staff member per project phase or activity. An organizational chart should serve to illustrate the management or organizational structure of your institution. Be sure to include a discussion of the lines of authority and identify who will be in charge. The following additional points should be addressed in this section:

- Why did you choose this management plan? How will it ensure efficiency and effectiveness of people and resources within the given limitations of staff time and dollars?
- How will the staff be evaluated and supervised?
- What communication links will be established among staff?
- If there is a population to be served, what will be the nature of staff contact with them?
- What is the nature of organizational relationships with other cooperating or collaborative agencies?
- What factors could accelerate or impede the progress of the project, and how do you plan to deal with them?

Time schedule. You will need to develop a time line or chart to show that you are approaching project tasks efficiently and realistically. Your time schedule should illustrate which activities will take place at what point in time and for how long. Be sure to allow yourself enough time to accommodate situations beyond your control, such as delays in printing, data collection, and mail deliveries. Remember that starting and ending project dates may change because of the review and negotiation processes and delays in the preparation of the final report. A good rule of thumb is to allow yourself a 10 percent cushion in your overall time schedule.

Examples of three popular time and schedule charts are illustrated in samples 7, 8, and 9. The Gantt chart is simpler to construct than the PERT (Program Evaulation and Review Techniques) chart, which shows the complex interrelationship of activities in order of completion. Although the PERT chart in sample 8 shows no dates, they may be added next to the numbered events listed below the chart.

Unless your funding agency specifically requests it, use the Gantt chart or a time line similar to the one illustrated in sample 9. Both are

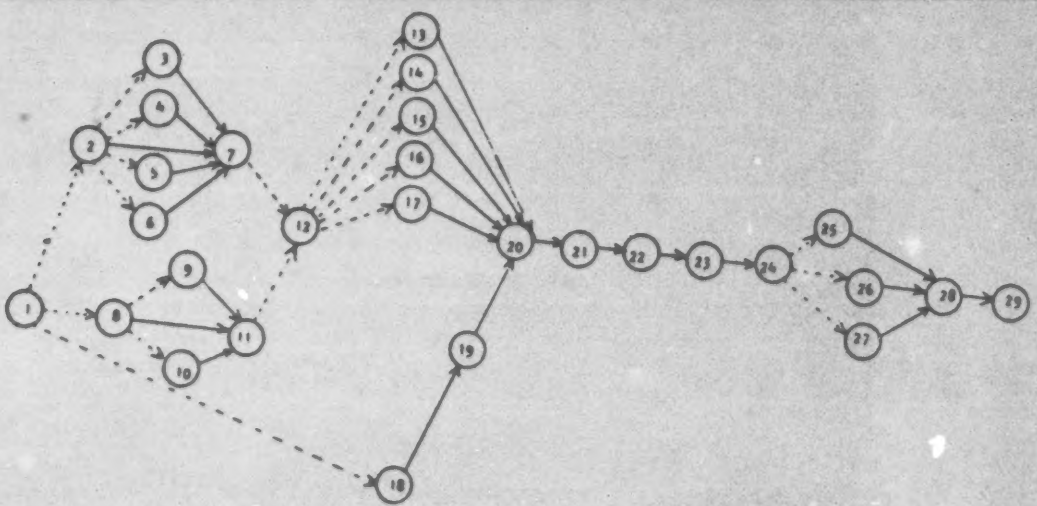
SAMPLE 7

GANTT CHART

Task	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.
Select workshop participants						
Develop program materials						
Identify workshop leadership						

SAMPLE 8

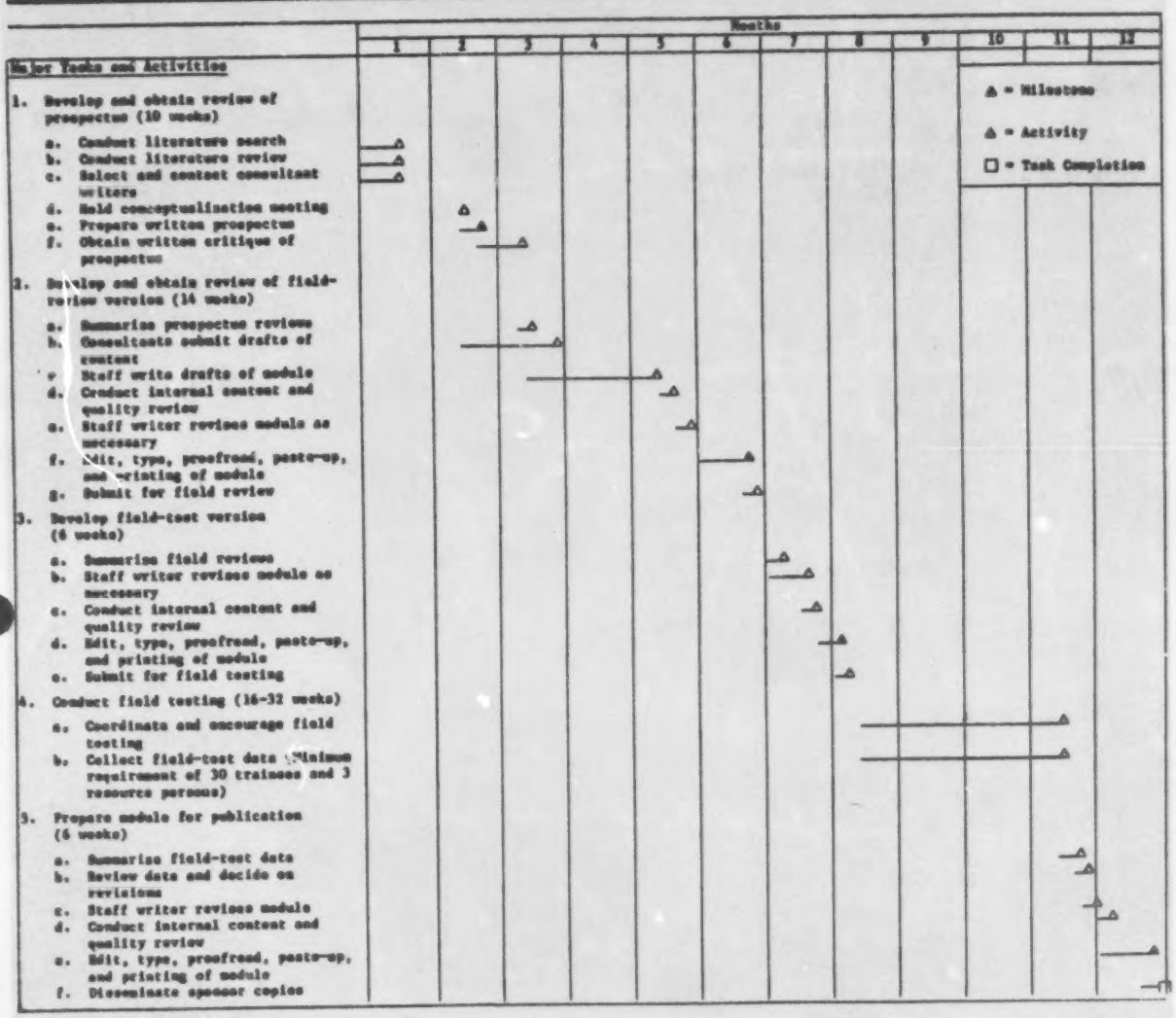
PERT CHART



1. Project Start
2. Objective Start
3. Start Philosophical Evaluation
4. Start Psychological Evaluation
5. Start Content Evaluation
6. Start Measurement Evaluation
7. Objectives Complete
8. Start Structure
9. Start Determination
10. Start Evaluation
11. Structure Complete
12. Start Instructional Materials
13. Start Teacher Manual
14. Start Student Material
15. Start Audiovisual Aids
16. Start Evaluation
17. Start Reference
18. Start Dissemination Procedure
19. Start School Sample
20. Start Material Distribution
21. Start Tryout
22. Start Evaluation
23. Start Final Materials
24. Complete Final Materials
25. Start Publications
26. Start Teacher Orientation
27. Start Administration Orientation
28. Start Lay Orientation
29. Project Complete

SAMPLE 9

MODULE DEVELOPMENT TIME LINE


Months
1
2
3
4
5
6
7
8
9
10
11
12
Major Tasks and Activities
1. Develop and obtain review of prospectus (10 weeks)
a. Conduct literature search
b. Conduct literature review
c. Select and contact consultant writers
d. Hold conceptualization meeting
e. Prepare written prospectus
f. Obtain written critique of prospectus
2. Develop and obtain review of field-review version (14 weeks)
a. Summarize prospectus reviews
b. Consultants submit drafts of content
c. Staff write drafts of module
d. Conduct internal content and quality review
e. Staff writer revises module as necessary
f. Edit, type, proofread, paste-up, and printing of module
g. Submit for field review
3. Develop field-test version (6 weeks)
a. Summarize field reviews
b. Staff writer revises module as necessary
c. Conduct internal content and quality review
d. Edit, type, proofread, paste-up, and printing of module
e. Submit for field testing
4. Conduct field testing (16-32 weeks)
a. Coordinate and encourage field testing
b. Collect field-test data (Minimum requirement of 30 trainees and 3 resource persons)
5. Prepare module for publication (6 weeks)
a. Summarize field-test data
b. Review data and decide on revisions
c. Staff writer revises module
d. Conduct internal content and quality review
e. Edit, type, proofread, paste-up, and printing of module
f. Disseminate sponsor copies
Δ = Milestone
Δ = Activity
□ = Task Completion

effective management devices and may be constructed and interpreted more easily than the PERT chart.

Institutional capacity. In this part of the management plan, you should discuss the location and nature of the facilities and major equipment that will be used for your project. Mention the availability of research, computer, and duplicating facilities. If grant monies are to be used to purchase equipment, outline what you already have, as well as what you intend to buy. Basically, you should strive to convince the funding source of your institution's capability to handle the project by demonstrating that, even if you don't have the facilities at hand, you can make arrangements to get them.

You can address your capacity also by discussing other projects or activities that your staff and organization have accomplished successfully that are similar to this one. Include letters of support from people who have worked with you and can vouch for your capability. Be creative. While you don't want to misrepresent your organization's strengths, you also don't want to overlook any aspect of your experience or your available facilities that can be used to create a favorable impression of your capability.

The Budget

Those who are inexperienced in accounting procedures are apt to cringe before the prospect of writing up a project budget. To be sure, accurate budget preparation is an arduous task, but it is also rewarding on at least two counts. First, the budget is an essential management tool, forcing you to tie your objectives to realistic dollar amounts. Second, the budget amplifies your proposal by clarifying exactly what resources you will need to complete your project. Following are some general guidelines to keep in mind as you approach the budget preparation phase of your proposal:

- Seek assistance from those with experience--People in your resource development office or business office (if you have one) can help, as can those with previous proposal writing experience. If your organization is new, seek advice from an accountant for such items as fringe benefits and indirect costs. Cost information for items such as travel, consultants, supplies, and materials can be estimated by speaking to people who sell those services.

- Don't underestimate costs--Because budgets are often prepared six months or so before the project starts, it is easy to forget factors such as inflation or salary increases that will raise your costs. Although not an openly acknowledged practice, budgets are usually constructed on higher-than-anticipated costs for two reasons: (1) it is hard to accurately predict future expenditures; and (2) you may be asked to reduce your budget during negotiations with the funding source, and you will thus have something to trade-off without drastically reducing your scope of work or paying the difference out of your own pocket. A word of caution, however. Do not overprice your project to the extent that you never even reach the negotiation stage. And,

too, most funding agencies require you to return any unspent money that is in excess of the proposal budget.

- Justify all budget items so that the reviewer knows what they are for and how they were completed--If you are applying for federal funds, a format for cost justification is usually provided. If the funder has no such format, save any formulas or calculations anyway, for future reference during negotiations.

- Study the cost restrictions and conditions specified by the funding agency to answer the following questions:
  - Can you purchase equipment or construct facilities?
  - How much of your "indirect" costs will the agency pick up? (If the amount is less than you expect to spend, you may have to absorb some of this cost in other budget categories.)
  - Are you expected to demonstrate your commitment to the project through cost-sharing measures such as matching funds or "in-kind" contributions such as volunteer services?
  - What can be done with unspent funds (e.g., if you save money in salaries, can you transfer the excess to buy equipment)? In general, if you have any questions about how the money is to be spent or what to do with unspent money, confer with the funding agency.

- Make accurate calculations--Check and double check to be sure that everything adds up to the total requested amount. A typographical error or miscalculation can make the difference between hundreds or thousands of dollars and make your organization appear to be incompetent to manage projects.

Most government agencies will provide standard forms on which to present your budget. If no such form is available, however, make up your own and secure the funding agency's approval before you submit it. Budgets usually contain the following information:

- Types of expenses are summarized in lump sum figures called "object class categories" such as "personnel," "travel," "supplies," and "general administrative expenses."
- Justification of expenses in each category is provided through a breakdown of expenses into "line items" such as "salaries," under which you would include a short position description, rate of pay, and total cost per staff member. Justifications are not always required but serve to reinforce the detailed planning that you should do anyway.
- Dollar amounts needed from the sponsoring agency and the proposing agency. Most state agencies view local contributions as significant but not required.

Sample 10 provides an example of how you might prepare a budget for your state department of education.

SAMPLE 10

PROPOSAL BUDGET

	BUDGET REQUEST FROM STATE BOARD	LOCAL CONTRIBUTIONS	TOTAL BUDGET
I. SALARIES			
1. Project director, Dr. Mary Smith, 50% time/month for 10 months @ $1257.00/month	$ 5,285.00	$ 1,000.00	$ 6,285.00
(a) Fringe benefits			
Retirement 8%	423.00	0.00	423.00
Insurance $14.21/month	143.00	0.00	143.00
2. Instructor, 100% time/month for 12 months @ $630.00/month	6,560.00	1,000.00	7,560.00
(a) Fringe benefits			
Insurance $8.90/month	107.00	0.00	107.00
3. Secretary, 960 hours @ $2.50/hour	2,400.00	0.00	2,400.00
(a) Fringe benefits			
Insurance $8.90/month	54.00	0.00	54.00
Subtotal	$14,972.00	$ 2,000.00	$16,972.00
II. CONTRACTUAL SERVICES			
1. Consultant services for 5 days (not to exceed $100/day)	$ 375.00	$ 0.00	$ 375.00
2. Consultant travel, lodging, and per diem at prevailing Illinois State Board of Education rates	200.00	0.00	200.00
3. Printing	100.00	460.00	500.00
4. Rental of facility for meetings	200.00	0.00	200.00
5. Telephone	400.00	0.00	400.00
6. Postage	200.00	0.00	200.00
Subtotal	$ 1,475.00	$ 400.00	$ 1,875.00
III. MATERIALS AND SUPPLIES			
1. Office expenses (paper, duplication, etc.)	$ 200.00	$ 200.00	$ 400.00
2. Resource materials	100.00	0.00	100.00
Subtotal	$ 300.00	$ 200.00	$ 500.00
IV. TRAVEL (Project Staff Only)			
1. Project staff travel, lodging, and per diem at prevailing Illinois State Board of Education rates. (Out-of-state travel requires prior approval of the Assistant Superintendent of the Department of Adult, Vocational and Technical Education)	$ 500.00	$ 0.00	$ 500.00
Subtotal	$ 500.00	$ 0.00	$ 500.00
V. OTHER RELATED EXPENSES			
1. Indirect costs	$ 1,380.00	$ 0.00	$ 1,380.00
Subtotal	$ 1,380.00	$ 0.00	$ 1,380.00
TOTAL	$18,627.00	$ 2,600.00	$21,227.00

SOURCE: Request for Program Improvement Proposals in Vocational Education, p. A-11.

Assembing, Reviewing, and Submitting the Proposal

The hardest part of proposal writing is now behind you. Your next activities involve the following steps:

- Assembling the proposal package
- Reviewing and finalizing the proposal
- Submitting the proposal
- Waiting for the proposal to be reviewed and following up on it if necessary

Assembling the Proposal Package

First, you need to assemble everything that belongs with your proposal and to have it typed. Funding agencies usually tell you how they want the proposal put together. However, in case you have no such directive, the following section covers all the appendages you are ever likely to need for any proposal. Many proposals will not require all of the listed components.

- Cover or transmittal sheet--This sheet should include (1) title of the project and name of your organization; (2) name and telephone of your organization's director; (3) name of the person/agency to whom the proposal is submitted; (4) starting date of project and amount of funds requested; and (5) name, title, and phone number of the person in your organization authorized to sign legal documents. Be sure to make the appropriate number of copies for original (not photocopied) signatures.

- Cover letter or letter of transmittal--If required, prepare a short letter (two to three paragraphs) addressed to the funding agency contact person, similar to the letter written for a preapplication.

- Table of contents--The contents should provide a detailed, accurate page guide, written to be of maximum use to the reviewer (large proposals only).

- List of figures, charts, etc. (large proposals only)

- The abstract--An abstract should provide a concise overview (200-250 words) of the whole proposal (see sample 11). It usually contains the following items:
  - Project title
  - Name of project director
  - Name of the organization
  - Starting and ending dates
  - Brief description of objectives

SAMPLE 11

PROPOSAL ABSTRACT

TITLE: A Model Competency-Based, Preservice Curriculum for Teachers of Vocational Education

PRINCIPAL INVESTIGATOR(s): Dr. M. Smith, Professor of Education

INSTITUTION: Vocational Education University (VEU)

LOCATION: 200 Front Street, Hometown, IL 66666

OBJECTIVES:

1. Develop by June 30, 1983, a written, transportable model of competency-based, preservice curriculum for teachers of vocational education, capable of implementation in medium and large preservice vocational education programs.

PROCEDURES:

1. In July 1982, a survey of second-year vocational education teachers and of teacher educators will be conducted by the project director to elicit the competencies required of beginning vocational education teachers. The staff and facilities of the VEU Survey Research Center will be utilized. (Objective 1)
2. During August and September 1982, a list of competencies needed by beginning vocational education teachers will be compiled by the graduate assistants using the survey results. (Objective 1)
3. From October through December 1982, the instructional system technologist (IST) will develop an articulated, two-year curriculum organized around the competency list. (Objective 1)
4. In January 1983, the project director will pilot test the curriculum on VEU preservice vocational education teachers. (Objective 1)
5. In February 1983, the IST will revise the curriculum based upon the pilot-test results. (Objective 1)
6. In March 1983, the project director will test the transportability of the revised curriculum by field testing it in preservice classes at one large-sized university and one medium-sized university in the state. (Objective 1)
7. In April 1983, the IST will again revise the curriculum based upon the results of the field test. (Objective 1)
8. In May and June 1983, the curriculum will be composed into a distributable format by the IST and project director, using the services of VEU's graphic arts service. (Objective 1)
9. In June 1983, the project director will deliver to the Department of Adult, Vocational and Technical Education three hundred (300) copies of the model curriculum. (Objective 1)

EXPECTED CONTRIBUTION OR POTENTIAL IMPACT ON VOCATIONAL AND TECHNICAL EDUCATION:

The curriculum will provide a means for renewal of total university-based programs for preparation of vocational education personnel.

PRODUCT(S) TO BE DELIVERED (indicate type of product, quantity, recipients, and date of delivery):

300 copies of A Model Competency-Based Preservice Curriculum for Teachers of Vocational Education will be mailed to the Department of Adult, Vocational and Technical Education by June 30, 1983.

12 copies of a final report will be mailed to the Department of Adult, Vocational and Technical Education by July 31, 1983.

SOURCE: Request for Program Improvement Proposals in Vocational Education, p. A-8.

- Outlined description of the procedures
- Brief statement of the project's potential to meet previously stated needs
- Brief description of any products to be delivered

- The proposal narrative--The narrative should include the detailed rationale, plan of action, evaluation plan, and management plan (usually 10-40 pages, double-spaced).

- The budget--Budget categories and justification for line items should be provided.

- Appendix--The appendix should include everything that is too long to incorporate into the narrative but that supports the proposal (e.g., resumes, letters of support or commitment, and relevant information about your staff and organization).

- Bibliography and footnotes--Avoid long footnotes; follow a standard style and use it consistently.

- Official forms--Such forms usually include compliance forms dealing with race and sex discrimination, privacy rights, and protection of human subjects (these "assurances" are required by most federal and state funding agencies); and any other forms required by your organization or the funding agency.

Reviewing and Finalizing the Proposal

With the assembled and typed proposal package in hand, you are ready for a final review and edit. Using the agency's proposal evaluation criteria and a checklist similar to the one in sample 12, go over the proposal yourself and, if possible, ask two or three people who were not involved in the writing process to read and critique it. If your organization has a standard proposal review procedure, be sure to allow enough time to complete the process and to incorporate suggestions.

When this process is complete, pass the proposal to an editor one more time and then to final typing. Proposals are usually double-spaced, with at least a 1 1/4" left margin and 3/4" right margin. Make the proposal package look clean and professional, without looking expensive. Number the pages for easy reference.

In duplicating the final copy, be sure to make enough copies to send to the foundation or agency. In addition, you may need to run "courtesy" copies for those who have helped you write or who may be collaborating with you. Avoid copying with mimeograph and ditto machines--they often produce blurred pages. Copies produced by offset or photocopier, with a colored cover, are quite acceptable.

SAMPLE 12

PROPOSAL REVIEW CHECKLIST

1. _____ Have you identified what the needs are and who will benefit?
2. _____ Did the assessment of needs involve those who are both directly and indirectly affected?
3. _____ Have you cited sufficient evidence to support your request?
4. _____ Have you set realistic goals with measurable objectives?
5. _____ Have you defined your problem clearly?
6. _____ Have you determined the best solution by examining possible alternatives?
7. _____ Have you addressed all specifications of the RFP?
8. _____ Have you described how project results will be evaluated and disseminated?
9. _____ Does the budget contain appropriate amounts in each category to complete the project?
10. _____ Does your proposal stick to the point and not contain extraneous material, meaningless jargon, and undocumented claims?
11. _____ Have you checked spelling, grammatical usage, and neatness of appearance?
12. _____ Have you answered the questions what, why, when, and by whom in your proposal?
13. _____ Have you included all necessary documents to support your case?
14. _____ Have you provided information to support the credibility of your organization or yourself?
15. _____ Have you suggested how the program will continue after the grant runs out?
16. _____ Have the appropriate people in your organization reviewed and signed the proposal?

SOURCE: Adapted from Tips That Make Cents in Proposal Writing (Washington, DC: U.S. Department of Labor, Employment Standards Administration, Women's Bureau, 1975).

Submitting the Proposal

If the agency is located fairly close to your institution, you, a colleague, or a delivery service can "hand carry" your proposal to the agency. Be sure of the exact person who should receive the proposal and his/her exact location.

If you are not so conveniently located and your proposal is ready at least a week before the deadline, your best bet is to send it by certified mail, "return receipt requested." Deadlines are a very important consideration here, and failure to observe them can result in outright rejection of your proposal.

The Proposal Review--Waiting It Out and Following Up

Waiting for an answer from the funding agency can be nerve wracking. Sometimes foundations take six months to respond, and federal and state agencies, while speedier, still need six weeks or more to complete their review process. Resist the temptation, however, to call or in other ways cause the agency to feel pressure from you. If you do decide that you can safely make an inquiry, ask a very specific question such as when a decision is anticipated--and leave matters there.

Federal proposal review procedures are accomplished under complex guidelines owing to the government's responsibility to the public trust. Once they are completed, negotiations begin, during which your organization may be asked to compromise either in the cost, time, or performance aspects of your proposal. While you should maintain a give-and-take attitude, be careful that any adjustments you make in the time, cost, or scope of your objectives do not hinder the overall integrity of your project. You cannot, for example, maintain the same objectives with a slashed budget.

It's "yes." Negotiations are complete when you have detailed in writing the agreed-upon changes in your proposal. Let's hope that after all your work and patience you will be awarded the contract. At this point, however, you may still have some negotiating to do. Sometimes money is not forthcoming for several weeks after approval--perhaps not until after the project is due to start. In that case, you will need to make an adjustment in your project dates, so that you don't wind up doing twelve months' work in ten months' time.

But what if it's "no"? There's always the unfortunate possibility that your proposal may be rejected--in spite of your best efforts. You may have been contending with some tough competition. Or there may have been a technicality or a deadline that you missed.

Try to find out why your proposal was rejected so that you can improve it for another submission at a later time. By law, federal agencies are required to share reviewers' comments if you ask for them. Foundations don't

have to, but they often will discuss their reasons for rejecting the proposal informally over the phone, in a debriefing session, or by letter. Some common reasons for proposal disapproval are listed below:

- The problem is of insufficient importance or is unlikely to produce any new or useful information.
- The problem is more complex than the investigator appears to realize.
- The problem has only local significance.
- The proposed procedures are unsuited to the stated objectives.
- The description of the approach is too nebulous or diffuse and lacks the clarity needed to permit adequate evaluation.

Whatever the reason for the rejection this time, don't stop trying! You now have your first proposal writing experience behind you and are that much further along in your ability to acquire funds to support your ideas for creating new projects or improving or expanding existing ones. After making some modifications, you may want to resubmit your proposal to another agency or even to the same agency. Don't get discouraged if you are not successful the first few times.

You may wish to interview one or more experienced resource development officers or other persons responsible for project proposal development in a school, community college, or university. Ask that person questions such as the following:

- How do you decide what to propose on and what to reject?
- How do you select proposal writing teams?
- Who usually makes up the proposal writing team (types of persons)?
- How many proposals do you prepare annually? In what areas?
- Why have you been so successful? What "tricks of the trade" are really important to your success?
- What recommendations do you have for an inexperienced but interested writer?

You may wish to obtain one or more proposals that were developed and approved for state or federal funding. If possible, also obtain copies of the review criteria used to evaluate the proposals and/or copies of the actual reviewers' comments. You could review these materials and critique the various sections of the proposal. What are its strengths and weaknesses, and how could the proposal have been improved?

The following items check your comprehension of the material in the information sheet, "Writing and Submitting Project Proposals," pp. 53-76. Each of the six items requires a short essay-type response. Please explain fully, but briefly, and make sure you respond to all parts of each item.

SELF-CHECK

1. Writing a successful proposal may be said to involve addressing each of three sets of needs, so that in meeting one set of objectives, you help to resolve problems in the other two areas as well. Please expand upon this concept by (1) identifying the three levels of need and (2) providing examples of this complementary relationship.

2. Imagine that your proposal has survived the agency review process and you are about to begin negotiations. It has been said that you are wise to adopt a give-and-take attitude during this phase.

   a. What does this mean in terms of what you should or should not give up?

   b. What is the final step that signals the end of negotiations?

3. Although funding agencies have different guidelines for use in assembling the proposal package, there are ten kinds of information or sections that represent all possible components. List these components and provide one or two descriptive sentences about each one.

4. A proposal management plan includes sections on staffing, organization, time schedule, and institutional capacity. What should be included in these sections, and in what ways may you illustrate your project plans within each section?

5. Most funding agencies have restrictions and conditions governing how project money is to be spent. List four possible restrictions and conditions, and explain how they will affect preparation of the proposal budget.

6. There are general considerations of good proposal format and content to bear in mind as you write. What advice would you offer to a novice proposal writer regarding the following:

   a. Project objectives

   b. Language and format used

   c. Funding agency review criteria

   d. Final, bound copy

Compare your written responses on the "Self-Check" with the "Model Answers" given below. Your responses need not exactly duplicate the model responses; however, you should have covered the same major points.

MODEL ANSWERS

1. Following are the three sets of needs that must be addressed by the proposal writer:

   - The need to resolve the educational problem addressed by the proposal
   - The need of the institution to maintain itself through this and other types of funding
   - The need of the funding source to choose the most qualified among many applicants

   Some examples of how these three sets of needs might complement each other are as follows:

   - Even though you have a good idea that can be funded, you also need to be sure that it is within the scope of your organization's ability. An influx of new money is not a worthy objective if the project requires unreasonable resources from your institution or if you run the risk of a poor performance.
   - Meeting the criteria for project development not only can help ensure that the project will be favorably reviewed, but it also provides a good planning tool that will help you to effectively implement your project idea.

2. The proposal manager must be sure that, for example, in cutting back on the budget, he/she also makes adjustments in the attempted objectives. Don't try to do the impossible with too little time or money.

   The final step in proposal negotiations is signaled by a written response to the funding agency, including all adjustments agreed to during negotiations.

3. A complete list of proposal sections required in more complex proposal packages would include the following sections:

   - Cover or transmittal sheet--This sheet should include (1) title of the project and name of your organization; (2) name and telephone of your organization's director; (3) name of the person/agency to whom the proposal is submitted; (4) starting date of project and amount of funds requested; and (5) name, title, and phone number of the person in your

organization authorized to sign legal documents. Be sure to make the appropriate number of copies for original (not photocopied) signatures.

- Cover letter or letter of transmittal--If required, prepare a short letter (two to three paragraphs) addressed to the funding agency contact person, similar to the letter written for a preapplication.

- Table of contents--The contents should provide a detailed, accurate page guide, written to be of maximum use to the reviewer (large proposals only).

- List of figures, charts, etc. (large proposals only)

- The abstract--An abstract should provide a concise overview (200-250 words) of the whole proposal (see sample 11). It usually contains the following items:
  - Project title
  - Name of project director
  - Name of the organization
  - Starting and ending dates
  - Brief description of objectives
  - Outlined description of the procedures
  - Brief statement of the project's potential to meet previously stated needs
  - Brief description of any products to be delivered

- The proposal narrative--The narrative should include the detailed rationale, plan of action, evaluation plan, and management plan (usually 10-40 pages, double-spaced).

- The budget--Budget categories and justification for line items should be provided.

- Appendix--The appendix should include everything that is too long to incorporate into the narrative but that supports the proposal (e.g., resumes, letters of support or commitment, and relevant information about your staff and organization).

- Bibliography and footnotes--Avoid long footnotes; follow a standard style and use it consistently.

- Official forms--Such forms usually include compliance forms dealing with race and sex discrimination, privacy rights, and protection of human subjects (these "assurances" are required by most federal and state funding agencies); and any other forms required by your organization or the funding agency.

4. Staffing--Include who will do the work, brief position descriptions, qualifications of persons who will be filling the positions (complete resumes attached in appendix), and percentage of time each staff member will devote to the project objectives.

   Time schedule--Include charts such as Gantt, PERT chart, or time line to show the duration of activities and when they will be completed.

   Organization--Discuss how the staff will work together, using organizational charts. Show who is ultimately responsible for the project, the organizational relationship with cooperating or collaborating persons and agencies, the nature of staff relationships with the population to be served, and factors that could impede or accelerate the progress of the project.

   Institutional capacity--Discuss the location and nature of equipment and facilities that you have access to, as well as other projects and accomplishments attesting to your institution's capability. Letters of support can be included here or in the appendix if they are lengthy.

5. Generally speaking, you need to make sure you know exactly how much of a budget item will be picked up by the funding agency. If your indirect costs are more than allowable, you need to make sure they can be absorbed by your institution or subsumed in other budget categories. Besides indirect costs, funding agencies often have restrictions regarding (1) the purchase of equipment or construction of facilities, (2) cost-sharing or in-kind contributions your agency can provide to support the project or to supplement funding, and (3) unspent funds (i.e., what should be done with leftover money).

6. Project objectives--These should be stated in clear, measurable terms. They should flow naturally from the rationale (statement of need) and should reflect your solutions to the identified problem.

   Language and format used--Keep it clear and avoid vague, grandiose claims and jargon. Sentences and paragraphs should be short and should be highlighted by underlining or other aids to visual design. If the funding agency suggests a format, use it.

   Review criteria--Study the criteria carefully for clues about what is most important to the funding agency. Each of the review criteria should be clearly and completely addressed in the appropriate section of the proposal because these criteria are the measures that will be used to determine the merit of your proposal in relation to the others submitted.

   Final, bound copy--Make enough copies for the funding source and make additional copies as required to give to proposal/project contributors or collaborators. Use offset or photocopier rather than mimeograph or ditto processes. Do not use expensive processes--just keep it clean and professional looking.

Level of Performance: Your completed "Self-Check" should have covered the same major points as the model responses. If you missed some points or have questions about any other points you made, review the material in the information sheet, "Writing and Submitting Project Proposals," pp. 53-76, or check with your resource person if necessary.

Learning Experience IV

OVERVIEW

Given a sample state-level RFP, identify the guidelines it contains for planning, developing, and submitting a project proposal.

You will be reviewing the state-issued "Request for Proposal," pp. 85-99.

You will be identifying the guidelines provided for planning, writing, and submitting a project proposal by analyzing the RFP, using the "RFP Analysis Worksheet," pp. 101-104.

You will be evaluating your competency in identifying the guidelines for planning, developing, and submitting a project proposal contained in the given RFP by comparing your completed analysis with the "Model RFP Analysis," pp. 105-108.

You may wish to obtain and analyze an RFP offered by your own state education agency (e.g., for VEA program improvement and support funds).

NOTES

The following "Request for Proposal" was issued by the Illinois State Board of Education. Review the contents of the RFP briefly to familiarize yourself with what is included.

REQUEST FOR PROPOSAL

ISSUED TO:	Educational agencies, public and private, and other parties or organizations interested in developing proposals.
RFP CODE:	83-131-1.10.2 (This code must appear on the Funding Agreement Form in the upper right-hand corner.)
ACTIVITY GOAL:	Identify and develop innovative, alternate methods for the delivery of vocational education learning experiences.
RATIONALE FOR ACTIVITY:	In the year 1900 only 3% of the nation's youth continued their education to graduation from high school. Agriculture was the prime source of employment, absorbing about 87% of our population, while business/industry employed approximately 10 of every 100 workers. By the year 1950, this nation had become totally immersed in the "Industrial Revolution" and 50% of our youth were graduating from high school. In 1980, we had emerged from the industrial age and entered an era of high technology. Approximately 75% of our youth were graduating from high school and 55% of the work force were employed in the information field. In short, our nation has progressed from a beginning as an agricultural society through a manufacturing or industrial age, to a third era commonly called the High Technology Age. In order to meet the needs of society for a skilled work force and provide citizens with opportunities to pursue and expand upon their selected careers, vocational educators must address its current and future role in coping with the "information explosion." Inherent in this need is the desire to devise new and more effective ways to economically deliver vocational education learning experiences. It is imperative that cooperation and collaboration be established between and among the business, industry, and labor communities and the system of vocational education in order to offer all students the most advanced learning experiences possible.
SUGGESTIONS AND MINIMUM REQUIREMENTS FOR ACCOMPLISHING THIS ACTIVITY:	The purpose of this Request for Proposal is to sponsor up to eight activities designed to stimulate the identification and development of innovative delivery systems for vocational education. These activities may address issues such as the information explosion, new and emerging occupations, and joint education-community efforts. Activities should serve as models to be adapted in all areas of the State and must address one or more of the following objectives.

SOURCE: Request for Program Improvement Proposals in Vocational Education: Research, Exemplary and Innovative, Curriculum Development (Springfield, IL: Illinois State Board of Education; Adult, Vocational and Technical Education, 1982), pp. 14-16, 36-47.

1. Identify and develop alternative methods for delivery of vocational education instruction.

2. Identify and develop innovative modes of instruction that are more time-, energy-, effort- and cost-effective for the learner.

3. Explore new approaches to deliver vocational education to special needs youth and adults.

4. Identify and develop alternative styles and techniques to credential vocational education learning experiences.

5. Expand the use of non-school settings using business, industry, and labor facilities for delivery of vocational education learning.

6. Develop a process for providing short-term, customized vocational training to enhance unique business, industry and labor needs.

7. Develop exchange programs between and among educators, business, industry and labor in order to keep both teaching skills and course content current and accurate.

8. Investigate and develop new methods to involve the local community in providing learning sites, crediting work experience, analyzing work force needs and addressing future employment needs.

9. Develop and implement techniques for transferring classroom learning into business, industry and labor facilities using the teacher as a facilitator of learning.

10. Develop innovative ways for responding to the high technology employment demands including, but not limited to, the broad range of opportunity in the microprocessor, laser, and video disc areas.

SPECIAL NOTE: The goal of this Request for Proposal is to serve as the impetus for development of techniques and procedures that improve the relevance of vocational education learning experiences. Proposers are encouraged to expand upon the categories suggested in this RFP. Proposals should clearly delineate the applicability of the project from a statewide perspective. The final report should project any proposed advancement of the activity for an additional one or two year period.

Proposals must be prepared in accord with the GUIDELINES AND SPECIFICATIONS FOR PREPARING PROPOSALS (see pp. 88-98).

RFP ASSURANCE: In the development of a proposal for this RFP, the applicant must: (1) address the common assurances required by the Illinois State Board of Education for funding agreements, found on page A6; and (2) demonstrate in the proposal contents (pursuant to P.L. 94-482) a reasonable probability that the project will result in improved teaching techniques/curriculum materials that will be used in a substantial number of classrooms or other learning situations within five years after termination of the funding agreement. If the applicant fails to respond adequately to these RFP provisions the proposal will not be considered in the review and recommendation process for funding.

DELIVERABLES: Deliverables will include twenty (20) copies of a final report and a like number of all products developed. A copy of the final product(s) and report must be submitted to the Illinois State Board of Education for review and approval prior to duplication.

TIME FRAME: Projects supported under this RFP will begin on or after July 1, 1982 and end June 30, 1983.

ESTIMATE OF FUNDING AVAILABLE: A maximum of eight proposals will be supported via this RFP category at a total allocation of $100,000.

SUBMIT PROPOSAL TO:

Illinois State Board of Education
Department of Adult, Vocational and Technical Education
Research and Development Section, E-426
100 North First Street
Springfield, Illinois 62777
Telephone: 217/782-4620

Any questions pertaining to this RFP should be addressed to James B. Haire at the above address and telephone number.

GUIDELINES AND SPECIFICATIONS FOR PREPARING PROPOSALS

Illinois State Board of Education
Department of Adult, Vocational and Technical Education
Research and Development Section

In submitting a proposal, applicants agree to the following stipulations:

1. The Illinois State Board of Education reserves the right to reject any proposal received if it is determined that the proposal does not meet the specifications of the Requests for Proposals (RFP) or if funds should be limited for any reason.

2. The Illinois State Board of Education/Department of Adult, Vocational and Technical Education is the final approving authority for all reports and products occurring as integral parts of any funding agreement resulting from these RFPs.

3. All reports and product(s) resulting from these RFPs become the property of the Illinois State Board of Education/Department of Adult, Vocational and Technical Education. These materials will be reviewed by the Illinois State Board of Education/Department of Adult, Vocational and Technical Education and at its discretion may be copyrighted in the name of the Illinois State Board of Education.

4. Progress reports will be submitted periodically as determined at the time of negotiation.

5. One copy of all submitted proposals will be retained in the files of the Illinois State Board of Education/Department of Adult, Vocational and Technical Education. All other copies will be destroyed unless the applicant explicitly requests the return of the proposals and sends the Research and Development Section a prepaid mailing envelope.

6. The proposal as well as all written and/or audio-visual materials produced shall be sex fair in word, image, and inference.

7. Equal and fair consideration of all populations regardless of race, sex, color, national origin, religion, age or handicap shall be given in the selection of project personnel, advisory or steering committee members and in other activities operated as part of the project.

All proposals must be typewritten on one side of standard 8 1/2" x 11", unruled, white paper. The proposal must be double-spaced, with the body of the proposal (i.e., proposal sections 4-8) not to exceed forty (40) pages. The proposal must provide reviewers with information required to conduct a comprehensive evaluation of the proposed activity.

Ten (10) copies of each proposal submitted in response to an RFP must be forwarded to the address stated at the end of each RFP.

A proposal shall include all of the following sections and shall be assembled and numbered in the following sequence:

1. Funding Agreement Forms
2. Assurances
3. Proposal Abstract
4. Budget
5. Narrative Description of the Project
6. Qualifications for Project Staff
7. Deliverables
8. Facilities
9. Appendix

An explanation of each proposal section follows.

1. FUNDING AGREEMENT FOR ADULT, VOCATIONAL AND TECHNICAL EDUCATION

   Funding Agreements in three of the ten proposal copies must bear original signatures of the superintendent, president, or a responsible agency official and the transmittal signature of the Regional Superintendent, Illinois Community College Board representative or University Occupational Education Coordinator. The RFP code of the RFP to which the proposal responds MUST appear at the UPPER RIGHT of this form. (See the appendix, pp. A3-A4, for sample and blank forms.)

2. ASSURANCES

   Assurance forms in three of the ten proposal copies must bear original signatures of the superintendent, president, or a responsible agency official. (See the appendix, p. A6, for a blank form which may be reproduced.)

   The body of the proposal (proposal sections 4-8) must indicate efforts planned for complying with the funding agreement assurances statements.

3. PROPOSAL ABSTRACT

   A proposal abstract must accompany all proposals. This abstract should provide a concise summary of the proposal, including all essential information needed to understand the general dimensions of the project, and must not exceed one page. (A sample, completed proposal abstract form using the required format, as well as one blank copy of the abstract are shown in the appendix, pp. A8-A9.)

4. BUDGET

   All budgets must be itemized under five categories. Authorized categories are: (I) Salaries; (II) Contractual Services; (III) Materials and Supplies; (IV) Travel; and (V) Other Related Expenses. As a minimum, every budget must utilize the following three columns: a Budget Request from Illinois State Board of Education column; a Local Contribution column; and a Total Budget column. Local Contribution

includes all auditable project expenditures incurred by an agency. Non-auditable in-kind contributions such as salaries may be listed on a separate sheet attached to the budget. Local Contributions are viewed as significant but are not required, and where none are provided, a zero (-0-) must be entered in the budget line. All budget amounts should be rounded up to the nearest whole dollar. (See the appendix, p. All, for a sample budget.)

Explanations for each of the five budget categories follow:

I. SALARIES -- Include projected expenditures for salaries (including anticipated annual increases) of personnel performing direct project services. Indicate job title, percentage of time for the project and fringe benefits such as health insurance and retirement (social security, teacher or university systems), worker's compensation, etc., for each project staff member.

II. CONTRACTUAL SERVICES -- Include anticipated expenditures for services rendered through contractual agreements with an individual or agency. These are considered subcontracted services, which are written under a separate agreement by the funded agency. The costs are reserved to offset expenses for providing services not usually within the capabilities of the funded agency. Personnel records are seldom maintained for the people performing contractual services nor are such individuals eligible for personnel benefits accruing to regular, full-time staff members. They may be eligible to receive consulting fees not to exceed $100/day plus travel, lodging and per diem at prevailing State Board of Education rates. The consultant fee is for specified services and should be regarded as a maximum figure, rather than as a flat rate for consultant services. Consultant travel, lodging and per diem must be shown here and not under the Travel category. Items rented for use during the term of a funding agreement are considered to be a contractual service. Subcontractors should provide assurances to the funded agency similar to those provided in the appendix, p. A6.

III. MATERIALS AND SUPPLIES -- Include anticipated expenditures for those materials and supplies required to conduct the project. Only expenses in excess of the regular agency operational costs and necessary to conduct the project should be shown. Costs must be itemized. (Unless otherwise approved by the Illinois State Board of Education, non-consumable materials such as resource materials, reference books or reports remain the property of, and must be delivered to, the Illinois State Board of Education at the end of the project's funding. Consumable materials are expendable items, which, through use, are consumed, worn out, or which deteriorate or lose their identity through fabrication or incorporation into a different or more complex unit or substance.)

Examples of materials and supplies which are not allowable include:

(1) Alterations to or renovations of buildings
(2) Construction of buildings or purchase of land or buildings

(3) Purchase of standard office furniture, desk sets, etc.
(4) Entertainment
(5) Dues to organizations, federations, or societies
(6) Contingency on "petty cash" funds

IV. TRAVEL -- Include anticipated project staff travel. Consultant travel, lodging and per diem shall be shown under the Contractual Services category and not here. Travel shall be computed according to prevailing State Board of Education rates and include travel, per diem, lodging, and estimated other expenses (e.g., tolls and parking). The rates under the travel regulations are:

(1) Mileage reimbursement is 19 cents per mile traveled;
(2) Per diem allowance is $16.00 per day if the day exceeds 18 hours or when a night's lodging is required.

For travel of less than 18 hours during the same calendar day or when a night's lodging is not required, the maximum amounts per meal which can be allowed to an individual traveling on the basis of living expenses incurred are as follows:

Breakfast -- $3.50
Lunch -- -0-
Dinner -- $9.00

(3) Lodging, excluding tips and room service, is reimbursable if not in excess of the following rates:

Accommodations within the State of Illinois, outside of a metropolitan area...$27.00 per day plus tax; accommodations within the State of Illinois, within a metropolitan area (the Metropolitan areas are the counties: Cook, Will, DuPage, Kane, McHenry, and Lake) $35.00 per day plus tax; or accommodations necessitated by Out-of-State Travel...$55.00 per day plus tax.

No out-of-state travel is authorized unless approved by the Assistant Superintendent of the Department of Adult, Vocational and Technical Education. If out-of-state travel is a required project activity, detailed budget notes for each trip must be developed to include: (1) name(s) of travelers, (2) type of activity planned, (3) date of activity, (4) estimated expense of trip, (lodging, meals, travel, registration fees, etc.) and (5) justification for participation in the activity. If this information is not available at the time of project negotiation, it must be submitted and approved before a trip is taken. SUCH OUT-OF-STATE TRAVEL SHALL BE NEGOTIATED AND APPROVED ONLY IF IT HAS DIRECT RELATIONSHIP OR BENEFIT TO THE CONDUCT OF A PROJECT.

V. OTHER RELATED EXPENSES -- This category provides for anticipated expenditures which cannot be itemized elsewhere in the proposed budget. Items in this category should be justified in terms of the

project. Indirect costs for universities, community colleges, and private firms are restricted to 8% of the total direct costs. Elementary and secondary schools are limited to their restricted indirect cost rate as established annually by the Illinois State Board of Education. Local educational agencies which do not comply with all the requirements of the Illinois State Board of Education accounting system are not eligible to claim indirect costs against the funding agreement.

5. NARRATIVE DESCRIPTION OF THE PROJECT

This section should be written in narrative form and include the following seven sub-sections: 5.1 Introduction, 5.2 Objectives, 5.3 Procedures, 5.4 Evaluation, 5.5 Dissemination Planning Outline, 5.6 Statement(s) of Impact, and 5.7 Time/Sequence Chart. An explanation of each area follows:

5.1 INTRODUCTION

Present a rationale for the proposed project including:

- A brief summary of the project goal(s) and how achievement of the goal(s) will benefit vocational education in Illinois as well as beyond the state (this summary provides the basis for developing the statement(s) of impact, subsection 5.6);

  Example Goal and Benefit:

  The project is to develop entrepreneurship curriculum materials to be used for training entrepreneurs to assist them in establishing their own business.

- The general design of the project explaining how its objectives and procedures are the most efficient and effective approach to meet the project's goal(s).

5.2 OBJECTIVES

List the objectives of the project. (The objectives are the basis for the development of impact indicator statements which show progress made toward achieving intended impact -- see Evaluation of Progress in subsection 5.4.) Each objective must (1) be related to the goal identified in the introduction (subsection 5.1), (2) be stated in assessable terms, and (3) contain the following elements:

- The target population(s);
- The precise outcome(s) expected;
- The condition(s)--time and place--under which the outcome(s) are to be attained.

Example Objective:

Identify by October 31, the skills needed by entrepreneurs to establish their own business.

5.3 PROCEDURES

Indicate the procedures to be used in accomplishing each objective, listing the procedures in chronological order. Each procedure listed must include:

- A cross-reference to the specific objective(s) it is designed to help accomplish;
- A description of the procedure;
- When the procedure will be implemented and completed;
- Which staff member(s) will be responsible for the procedure;
- What equipment, materials or facilities are necessary to conduct the specific procedure;
- The target population(s) to be served by the procedure.

Example Procedure:

Through an extensive review of literature, a working list of skills needed by entrepreneurs in establishing their own business will be compiled by project staff prior to August 31. (Objective 1)

5.4 EVALUATION

Specify the techniques of evaluation to be used in the project. The purpose of the evaluation is to provide continuous feedback on the acceptability of the procedures, on the achievement of the objectives, and on the achievement of the proposed goal(s). Each technique listed must include:

- Cross-reference(s) to the specific procedure(s) and/or objective(s) it is designed to evaluate;
- When the technique will be conducted;
- The criteria or standards used to assess the accomplishment of the evaluated procedure(s) and/or objective(s).

Example Evaluation Technique:

Using an instrument developed by the project staff, ten small business owners in three varying sized communities in Illinois will be interviewed during September and October to validate the identified entrepreneurial skills. (Objective 1)

Two types of evaluation shall be described:

- o Evaluation of progress through periodic, planned assessment to determine if specific procedures result in progress towards achieving specific objectives and, thereby, the project goal(s) and intended impact. If certain procedures do not facilitate progress, changes in the program design should be made;

- o Evaluation of achievement of objectives to determine to what degree the project objectives have been met.

5.5 DISSEMINATION PLANNING OUTLINE

5.5.1 Dissemination activities assist the target audience to:

- o Become aware of project outcomes (general information, products, practices, ideas, and/or concepts);

- o Understand such outcomes and how they could be used;

- o Decide whether or not to use an outcome; and

- o Implement and continue to use a project outcome.

The planning, conducting, and following up of dissemination activities is individual to the type of project outcome disseminated, the target audience (persons to be affected by the dissemination activity), the persons to be involved in the dissemination activity itself, and the availability of resources to conduct the activity including time, money, and persons.

Dissemination activities are not limited to the final phase of a funded project nor limited to the dissemination of an end product. Rather, dissemination activities will occur throughout all phases of a funded effort and will include dissemination of such outcomes as concepts, draft reports, supplementary materials, materials for field-testing, resource guides, and bibliographies. All dissemination activities combine to meet the dissemination goal of the project and, in turn, contribute to impact and its assessment.

A Dissemination Planning Outline is required for all proposals, using the format in subsection 5.5.2. The Dissemination Planning Outline should reflect the planning, conducting, and following up of dissemination activities throughout the current funded period.

5.5.2 Dissemination Planning Outline

I. Dissemination Goal(s) for the Funding Period Ending June 30, 1983

A. List the outcomes to be disseminated;

B. Identify the target audience(s) for dissemination efforts; and

C. Determine the extent of dissemination (awareness? understanding? decision? implementation?; see Section 5.5.1 above).

II. Particular Dissemination Activities

A. List individual dissemination activities identifying for each:

1. the outcome to be disseminated;

2. the audience that will be affected; and

3. the extent to which the activity will assist the audience (awareness? understanding? decision? implementation?; see Section 5.5.1 above).

B. Indicate who will be responsible for conducting each activity and if possible where each will be conducted.

III. Followup Activities

A. List followup efforts that will be conducted to collect information related to:

1. the effectiveness of the particular dissemination activity;

2. the identification of additional assistance needs; and

3. the intended use.

B. Indicate followup activities to be conducted three to six months following dissemination efforts to determine the extent to which the outcome is used.

5.6 STATEMENT OF IMPACT

The statement of impact is a narrative description of the outcome(s) of the project goal(s) (see subsection 5.1). The impact statement reflects the intended consequences of the project goal(s) upon termination of funding.

In discussing the intended consequences of the project goal(s) the following elements must be included:

- o The target population(s) expected to be affected;
- o The precise nature of intended consequence(s) (e.g., change in specific skills, knowledge, attitudes, interests, values, perceptions).

Example Impact Statement:

Students of teachers using the entrepreneurship education curriculum materials will develop entrepreneurial skills and be able to apply these skills in their jobs and everyday life.

5.7 TIME/SEQUENCE CHART

Organize into a chart, the procedures, evaluation techniques, and dissemination activities discussed in the preceding narrative description of the project. This chart should be viewed as a project management plan that will assist contract administrators as well as project staff in the monitoring of the project. Any graphic format may be used in developing the chart as long as it accounts for the following requirements:

- o construct the time frame of the chart from the month the project will start through the final month in which the present fiscal year's activities will be conducted;
- o show the procedures, evaluation techniques, and dissemination activities in the chronological order in which they occur;
- o show each procedure, evaluation technique, and dissemination activities under each month in which it will occur;

(See the appendix, pp. A13-A16, for examples of several types of chart formats.)

6. QUALIFICATIONS OF PROJECT STAFF, CONSULTANTS, AND/OR SUBCONTRACTORS

Staff members of the project should be listed as follows:

- o Project Director

a) The name, title and a brief statement containing the Project Director's experience and qualifications which are germane to the proposed project;

b) The project activities in which the Project Director will be involved.

- Full-Time and Part-Time Professional Staff Members

a) Give name, title and a brief statement for each staff member containing the staff member's experience and qualifications which are germane to the proposed project;

b) The project activities in which each staff member will be involved.

- Consultants (Same as for Full-time/Part-time Professional Staff Members above)

- Subcontractors

The funded agency may enter into agreements for part of the services to be provided under the project by other appropriate persons, public or private agencies or institutions. Such agreement shall describe the services of the subcontractor and shall contain provisions assuring that the funded agency will retain supervision and administrative control over the services. Subcontractors should provide to the funded agency assurances similar to those provided in the appendix, p. A6. Services of the subcontract or agreement shall be specified in the project proposal.

If subcontractors are to be used, indicate their qualifications and specific duties and responsibilities for the project.

All subcontracts must be approved by the Illinois State Board of Education/Department of Adult, Vocational and Technical Education.

If a specific person has not been selected for a position, the job skills a person must have in order to qualify for the position MUST be specified. The Illinois State Board of Education insures equal employment/educational opportunities/affirmative action regardless of race, sex, color, national origin, religion, age or handicap.

7. FACILITIES

Indicate any special facilities and other resources available to your agency which will aid in the conduct of this activity. When the cooperation of other companies, organizations, schools or agencies is essential to the conduct of the project, indicate the extent and the nature of possible cooperative arrangements.

8. DELIVERABLES

- o Progress Reports

  Periodic progress reports are to be filed as negotiated.

- o Final Reports

  A final report is required for all projects. The number of copies is specified in each RFP or will be negotiated.

- o Final Products

  The required number of copies of a final product is specified in RFPs or will be negotiated. This decision will be based upon the proposal's Dissemination Planning Outline as well as federal and state requirements.

9. APPENDIX

Appendices, include materials which support the proposal.

OTHER RELATED INFORMATION

Proposal Review Process

Each proposal received will be evaluated by a team of reviewers. All proposals addressed to a particular RFP will be reviewed and ranked by the same team of reviewers, which will be balanced so that the majority of the team members are from outside the Illinois State Board of Education while those chosen from within the Illinois State Board of Education are not from the Research and Development Section. Reviewers will be selected based on demonstrated expertise in the field and interest in program improvement efforts.

A Proposal Evaluation Guide is used by the reviewers. Comments of the proposal evaluation will be shared upon request; however, the identity of the reviewers is confidential. (See this module, pp. 58-60, for the contents of the Proposal Evaluation Guide.)

Upon completion of the reviews, the Research and Development Section staff analyzes the reviews and make recommendations for negotiation and approval of proposals. Proposers should be prepared to meet in Springfield to negotiate the selected proposal into a funding agreement.

Termination and Appeal Processes

In compliance with federal requirements, the Illinois State Board of Education and the funded agency will follow the termination and appeal processes as stated in the Federal Register, April 3, 1980, Sections 100b.780-100b.783.

NOTES

Identify the guidelines for planning, writing, and submitting a project proposal contained in the "Request for Proposal," pp. 85-99, using the following "RFP Analysis Worksheet" to structure your responses. In the spaces provided, supply the section and page numbers of the RFP that address the questions and briefly summarize the funding agency's requirements.

RFP ANALYSIS WORKSHEET

A. THE PROBLEM--sponsor's need, requested solutions, expected outcomes

Section(s):

Page(s):

Summary:

B. THE OBJECTIVES--products, outputs, specifications

Section(s):

Page(s):

Summary:

C. PROCEDURES--implicit or explicit approaches and plans of action

Section(s):

Page(s):

Summary:

D. OUTCOMES--expected measures of success

Section(s):

Page(s):

Summary:

E. TIME PERIOD--length of project, renewability

Section(s):

Page(s):

Summary:

F. HUMAN RESOURCES--expertise, external participants, role of sponsor

Section(s):

Page(s):

Summary:

G. FISCAL RESOURCES--dollar restrictions or parameters

Section(s):

Page(s):

Summary:

H. AGENCY CAPACITY/CREDIBILITY--past accomplishments, cost-sharing, facilities, in-kind contribution

Section(s):

Page(s):

Summary:

I. SUPPORTING DOCUMENTATION--resumes, letters, other appendages

Section(s):

Page(s):

Summary:

J. FUNDING SOURCE REVIEW CRITERIA--explicit, implicit

Section(s):

Page(s):

Summary:

K. PROPOSAL PREPARATION AND SUBMISSION--formats, submission dates and addresses

Section(s):

Page(s):

Summary:

Compare your completed analysis of the "Request for Proposal" with the "Model RFP Analysis" given below. Your responses need not exactly duplicate the model responses; however, you should have covered the same major points.

MODEL RFP ANALYSIS

A. THE PROBLEM--sponsor's need, requested solutions, expected outcomes

Section(s): Rationale for Activity

Page(s): 85

Summary: The nation has moved from an agricultural age, through a manufacturing or industrial age, to a high technology age. In addition, whereas 3 percent of our youth graduated from high school in 1900, 50 percent did so in 1950, and 75 percent did so in 1980. Vocational education needs to provide training to our nation's youths and adults to cope with the information explosion. Cooperation between vocational education and business-industry-labor is essential to meeting this need.

B. THE OBJECTIVES--products, outputs, specifications

Section(s): Suggestions and Minimum Requirements for Accompanying This Activity; Deliverables

Page(s): 85, 86; 87

Summary: Ten objectives, relating to techniques for delivering high technology vocational education programming and involving business-industry-labor, are listed.

Deliverables will include 20 copies of a final report and of all products developed.

C. PROCEDURES--implicit or explicit approaches and plans of action

Section(s): Suggestions and Minimum Requirements for Accomplishing This Activity

Page(s): 85, 86

Summary: Eight activities (separate proposals) will be funded to stimulate the identification and development of innovative delivery systems for vocational education. These activities may address issues such as the information explosion, new and emerging occupations, and joint education-community efforts.

Activities should serve as models within the state. The ten objectives further define the procedures and approaches to be used.

D. OUTCOMES--expected measures of success

Section(s): RFP Assurance

Page(s): 87

Summary: "A reasonable probability that the project will result in improved teaching techniques/curriculum materials that will be used in a substantial number of classrooms or other learning situations within five years after termination of the funding agreement."

E. TIME PERIOD--length of project, renewability

Section(s): Time Frame; Special Note

Page(s): 87; 86

Summary: Projects will begin on July 1, 1982 and end June 30, 1983.

The final report should project any proposed advancement of the activity for an additional one- or two-year period.

F. HUMAN RESOURCES--expertise, external participants, role of sponsor

Section(s): Qualifications of Project Staff, Consultants, and/or Subcontractors

Page(s): 96, 97

Summary: This section describes (1) which staff members should be designated and how they should be listed, (2) how consultants should be listed, (3) the terms under which subcontractors may be used and the terms of such agreements, and (4) what to include if a specific person has not as yet been selected for a position.

The role of the sponsor is not clearly specified.

G. FISCAL RESOURCES--dollar restrictions or parameters

Section(s): Estimate of Funding Available

Page(s): 87

Summary: A maximum of eight proposals will be supported via this RFP category at a total allocation of $100,000.

H. AGENCY CAPACITY/CREDIBILITY--past accomplishments, cost-sharing, facilities, in-kind contribution

Section(s): Qualifications of Project Staff, Consultants, and/or Subcontractors; Facilities

Page(s): 96, 97, 98

Summary: These sections of the proposal are to include capacity statements in relation to staff experience and qualifications, and facilities and resources available, specifically in terms of the project activity needs.

There doesn't appear to be any cost-sharing or in-kind contribution, per se; however, there is a stipulation that the institution continue the effort on its own past the one year of outside funding (see Parts D and E).

I. SUPPORTING DOCUMENTATION--resumes, letters, other appendages

Section(s): Assurances

Page(s): 89

Summary: Assurance forms, provided in an appendix, must be completed and signed by designated authorities.

No direct request for resumes is made, but it would be natural to use resumes to describe the qualifications of project staff, consultants, and others.

J. FUNDING SOURCE REVIEW CRITERIA--explicit, implicit

Section(s): Proposal Evaluation Guide

Page(s): 58-60

Summary: Criteria are provided for evaluating the proposal relative to its objectives, procedures, evaluation, dissemination planning outline, statement of impact, time/sequence graphic presentation, qualifications, budget, equity, and synthesis.

K. PROPOSAL PREPARATION AND SUBMISSION--formats, submission dates and addresses

Section(s): Guidelines and Specifications for Preparing Proposals; Submit Proposal To

Page(s): 88-98; 87

Summary: Eleven pages are devoted to how the proposal should be physically prepared, how many copies must be prepared, what sections should be included, and what each section must contain.

No submission date is provided.

A call to the person named on p. 87 would need to be made to secure that information.

Level of Performance: Your completed written analysis should have cited the same sections and pages and covered the same major points as the "Model RFP Analysis." If you missed some points or have questions about any additional points you made, review the "Request for Proposal," pp. 85-99, or check with your resource person if necessary.

You may wish to obtain an RFP offered by your own state education agency--such as one related to VEA program improvement and support, consumer and homemaking, and programs for the disadvantaged. You could analyze this RFP using a copy of the "RFP Analysis Worksheet," pp. 101-104.

Learning Experience V

FINAL EXPERIENCE

While working in an actual administrative situation, develop applications and proposals for funding vocational education.*

As part of your administrative responsibility, develop applications and proposals for funding vocational education. This will include--

- completing program applications for federal and state vocational education funding
- planning for the development of project proposals
- developing project proposals that integrate the needs of your institution, the objectives of the proposed project, and the review criteria of the funding source
- observing guidelines for submission, negotiation, and follow up of proposals

NOTE: As you complete each of the above activities, document your activities (in writing, on tape, through a log) for assessment purposes.

continued

*If you are not currently working in an actual administrative situation, this learning experience may be deferred, with the approval of your resource person, until you have access to an actual administrative situation.

FINAL EXPERIENCE continued

Arrange to have your resource person review any products (e.g., completed program applications and project proposals, proposal planning instruments, proposal writing guides) produced under your leadership. If possible, arrange to have your resource person observe at least one instance in which you are working with staff to plan and develop applications and proposals.

Your total competency will be assessed by your resource person, using the "Administrator Performance Assessment Form," pp. 111-113.

Based upon the criteria specified in this assessment instrument, your resource person will determine whether you are competent in developing applications and proposals for funding vocational education.

Name _____

Date _____

ADMINISTRATOR PERFORMANCE ASSESSMENT FORM

Develop Applications and Proposals
for Funding Vocational Education

Directions: Indicate the level of the administrator's accomplishment by placing an X in the appropriate box under the LEVEL OF PEFORMANCE heading. If, because of special circumstances, a performance component was not applicable, or impossible to execute, place an X in the N/A box.

	LEVEL OF PERFORMANCE					
	N/A	None	Poor	Fair	Good	Excellent
In completing program applications for federal and state vocational education funding, the administrator:						
1. identified and obtained the correct application forms.....	☐	☐	☐	☐	☐	☐
2. completed all forms correctly, according to directions.....	☐	☐	☐	☐	☐	☐
3. made copies of all forms for the institution's files.....	☐	☐	☐	☐	☐	☐
4. submitted all forms to the proper place within the necessary time limits.....	☐	☐	☐	☐	☐	☐
In planning proposal writing activities, the administrator:						
5. developed a feasible rationale for the program expansion/development project.....	☐	☐	☐	☐	☐	☐
6. identified funding sources that might support the proposed project effort.....	☐	☐	☐	☐	☐	☐
7. obtained proper authorization to pursue funding	☐	☐	☐	☐	☐	☐

	LEVEL OF PERFORMANCE					
	N/A	None	Poor	Fair	Good	Excellent
8. analyzed the RFP for proposal criteria and guidelines.....	☐	☐	☐	☐	☐	☐
9. assigned appropriate staff to the proposal development.....	☐	☐	☐	☐	☐	☐
10. provided staff with adequate direction and support.....	☐	☐	☐	☐	☐	☐
In overseeing the writing of the proposal to fund given projects, the administrator and/or the proposal writing team under his/her direction:						
11. wrote a clear and concise proposal rationale...	☐	☐	☐	☐	☐	☐
12. wrote a detailed and logical procedure section.	☐	☐	☐	☐	☐	☐
13. wrote an evaluation plan consistent with funding source criteria.....	☐	☐	☐	☐	☐	☐
14. wrote a management plan that integrated the institution's resources.....	☐	☐	☐	☐	☐	☐
15. presented the details of a budget.....	☐	☐	☐	☐	☐	☐
16. assembled the proposal package accurately and completely.....	☐	☐	☐	☐	☐	☐
17. wrote well, using clear, simple language.....	☐	☐	☐	☐	☐	☐
In submitting the proposal, the administrator:						
18. evaluated the final product to ensure that it:						
a. contained all necessary components as designated by funding source.....	☐	☐	☐	☐	☐	☐
b. included a reasonable and realistic scope of work.....	☐	☐	☐	☐	☐	☐
c. presented a reasonable and realistic time line.....	☐	☐	☐	☐	☐	☐

	LEVEL OF PERFORMANCE					
	N/A	None	Poor	Fair	Good	Excellent
d. included a workable, accurately calculated budget.....	☐	☐	☐	☐	☐	☐
e. provided adequate evidence to support the institution's need and qualifications for the funds.....	☐	☐	☐	☐	☐	☐
f. was well written.....	☐	☐	☐	☐	☐	☐
19. secured review of and final approval for the proposal	☐	☐	☐	☐	☐	☐
20. had the package delivered to the right person at the right time.....	☐	☐	☐	☐	☐	☐
21. followed up appropriately upon receipt of feedback, depending on whether the proposal was accepted, rejected, or required additional negotiation.....	☐	☐	☐	☐	☐	☐

Level of Performance: All items must receive N/A, GOOD, or EXCELLENT responses. If any item receives a NONE, POOR, or FAIR response, the administrator and resource person should meet to determine what additional activities the administrator needs to complete in order to reach competency in the weak area(s).

NOTES

Additional Recommended References

Clayton, Kermeta. "Obtaining Grants from Foundations and Corporations." *Journal of Home Economics.* 74 (Spring 1982): 30–32.

Cook, Desmond L. *Program Evaluation and Review Technique: Applications in Education.* Lanham, MD: University Press of America, 1978.

Gustafson, Richard A. *Proposal Writing: Obtaining New Funding for Career Guidance Programs.* Columbus, OH: The National Center for Research in Vocational Education, The Ohio State University, 1979.

Horgen, Gregory C. *Playing the Funding Game.* Edited by Sharon Terry. Sacramento, CA: Human Services Development Center, 1981.

Sladek, Fred E., and Stein, Eugene L. *Grant Budgeting and Finance: Getting the Most Out of Your Grant Dollar.* New York, NY: Plenum Publishing Corporation, 1981.

Weiler, Patricia. *Teacher Centers: Putting the Pieces Together for Success — A Guidebook for Teachers.* Part Five: "Packaging the Proposal." Washington, DC: AFT Teacher Center Resource Exchange, 1978.

The following documents, although out of print, may be available in a local community or educational library:

Ammon-Wexler, Jill, and Carmel, Catherine. *How to Create a Winning Proposal.* Santa Cruz, CA: Mercury Communications Corporation, 1978.

Green, Gary. *A Proposal Writing Primer.* Topeka, KS: Kansas State Department of Education, 1978.

Krathwohl, David. *How to Prepare a Research Proposal.* Second Edition. Syracuse, NY: Syracuse University, 1976.

Mathews, Walter M.; Campbell, Patricia B.; Hunter, Lisa; and Robinson, Margaret. *Developing Successful Proposals in Women's Educational Equity.* Volume II: The Swipe File; and Volume III. The Supplement. San Francisco, CA: Far West Laboratory for Educational Research and Development, 1979.

Morrow, John C. *A Basic Guide to Proposal Development.* Third Edition. Silver Spring, MD: Business Publishers, 1977.

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- LT-D-4 Manage School Personnel Affairs

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- LT-H-2 Identify Financial Resources for Vocational Education
- LT-H-3 Develop Applications and Proposals for Funding Vocational Education

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- LT-I-2 Use Inquiry Skills to Help Improve Vocational Education Programs

Supportive Materials

- Guide to Vocational-Technical Education Program Alternatives: Secondary and Postsecondary—An Introduction
- Guide to Using Competency-Based Vocational Education Administrator Materials
- Resource Person's Guide to Implementing Competency-Based Administrator Education Concepts and Materials
- An Introduction to Competency-Based Administrator Education (slide/audiotape)

For information regarding availability and prices of these materials contact—AAVIM, American Association for Vocational Instructional Materials, 120 Driftmier Engineering Center, University of Georgia, Athens, Georgia 30602, (404) 542-2586.

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